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ABSTRACT

This resource guide considers issues in the staffing and organization of preservation activities. It provides guidance in implementing a systematic preservation program and evaluates the structures of various types of preservation programs. The following articles complement the discussion of program models and implementation: (1) "Preservation Program Models: A Study Project and Report" (Jan Merrill-Oldham, Carolyn C. Morrow, and Mark Roosa); (2) "The Politics and Management of Preservation Planning" (Karl G. Schmude); (3) "A Cost Model for Preservation: The Columbia University Libraries' Approach" (Carolyn Harris, Carol Mandel, and Robert Wolven); (4) "Staffing the Preservation Program" (Carolyn C. Morrow); (5) "Staffing Preservation-Related Activities in Libraries: A Checklist" (Michele Cloonan); (6) "Preservation Librarians" (Association of Research Libraries); (7) "ARL Preservation Statistics 1990-91" (Jutta Reed-Scott and Nicola Daval); (8) "Preservation Committee Charge" (Dartmouth College); (9) "Preservation Committee Charge" (University of North Carolina at Chapel Hill); (10) organization charts for eight major university libraries; (11) "NEH/ARL Preservation Planning Program Final Report" (University of Colorado at Boulder); (12) "Preservation Planning Project Study Team: Final Report" (Duke University); and (13) "A Preservation Program for Oklahoma State University Library" (Oklahoma State University). An annotated list of selected reading presents 11 additional sources. (SLD)

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Preservation Planning Program

Organizing Preservation Activities

By

Michele Cloonan

Assistant Professor, UCLA Graduate School of Library and Information Science

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March 1993

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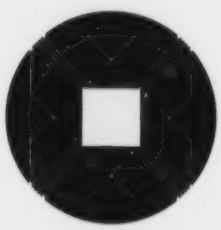

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Preface

This is one of seven in a series of Preservation Planning Program (PPP) resource guides. Support for their preparation was provided by a grant from the National Endowment for the Humanities. The resource guides offer libraries comprehensive, easy-to-use information relating to the major components of a preservation program. The goal in each case is to construct a conceptual framework to facilitate preservation decisionmaking as it relates to a specific program area. ARL was fortunate to be able to draw on the extensive experience of a diverse group of preservation administrators to prepare these resources. Guides cover the following topics:

- Options for Replacing and Reformatting Deteriorated Materials
- Collections Conservation
- Commercial Library Binding
- Collections Maintenance and Improvement Program
- Disaster Preparedness
- Staff Training and User Awareness in Preservation Management
- Organizing Preservation Activities

Taken together, the guides serve as points of departure for a library's assessment of current practices. From the rich and diverse preservation literature, materials have been selected that relate principles or standardized procedures and approaches. The intent is to provide normative information against which a library can measure its preservation efforts and enhance existing preservation activities or develop new ones. The resource guides build on the body of preservation literature that has been published over the last decade. Every effort has been made to reflect the state of knowledge as of mid-1992.

The resource guides were prepared primarily for use with the *Preservation Planning Program Manual* developed and tested by the Association of Research Libraries, with support from the National Endowment for the Humanities. However, they prove useful to all those involved in preservation work in academic and research libraries. The guides may be used individually or as a set.

Each resource guide is divided into four sections. The first presents an overview and defines the specific preservation program component. The second section guides the review of current practice, explores the developmental phases that can be expected as a preservation program component develops, and lists specific functions and activities. The third part brings together key articles, guidelines, standards, and excerpts from the published and unpublished sources. The last section contains a selected bibliography of additional readings and audiovisual materials that provide additional information on a specialized aspect of each topic.

As libraries continue efforts to plan and implement comprehensive preservation programs, it is hoped that the resource guides will help to identify means of development and change and contribute to institutional efforts to meet the preservation challenge.

Jutta Reed-Scott
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Association of Research Libraries

INTRODUCTION AND PROGRAM DESCRIPTION

Overview

This resource guide considers issues in the staffing and organization of preservation activities. It is intended to provide guidance in implementing a systematic preservation program. It examines models for organizing preservation programs, considers the pros and cons of different approaches, and describes major preservation functions. Documentation includes organizational charts, position descriptions, sample preservation committee charges, and implementation plans.

Over the past fifteen years, 65 ARL libraries have developed preservation programs that reflect a variety of organizational models.[1] And several of the mature preservation programs have been reorganized. There appears to be no proven organizational model; rather, librarians must decide what works best given the sizes, structures, and historical practices of their institutions, and the budgets and personnel available to them. Each library has its own needs and operates in an institutional setting with its own organizational history, goals and objectives, budgets, and personnel. The nature and use of each collection is different and so must be the preservation approaches taken. But with the realization that there is no single "best way" to organize preservation activities, an institution is ready to plan a program with its own unique circumstances in mind.

This resource guide evaluates the structures of various types of preservation programs as well as their placement within different organizations. Examples are drawn from the 1988-89 and 1990-91 *ARL Preservation Statistics*[2] and the 1991 ARL publication, *Preservation Program Models*.[3]

Organizational Models for Preservation

Organizing the Review

An organizational review will identify the range of preservation functions in a library. This review can be carried out by either an individual or by a committee. By looking at all preservation activities that are carried out in libraries, planners can identify staff for current activities as well staff that will be needed for future activities. Critical preservation-related activities in libraries include planning and policy making; controlling environmental conditions within library buildings; substituting outmoded repair techniques with archivally sound ones; using commercial binding services in a sophisticated way; establishing mechanisms for replacing and reproducing deteriorated items; developing plans to help prevent and recover from disasters; and providing preservation training for staff and users as well as staff development opportunities for conservation/preservation personnel. (Also refer to Staffing Preservation-Related Activities in Libraries: A Checklist in the Selected Documents section of this guide.) By reviewing the staff required and by evaluating the complexity of each activity, the planners can make decisions about how to staff these activities. Questions to be explored are:

- Will only existing staff be used?
- If additional staff resources are needed, will a full- or part-time preservation librarian be hired?
- Which preservation functions can be performed by personnel currently working in the library?
- Which functions will require expertise not currently represented by the staff?

Models for Organizing Preservation Programs--Staffing Models

The functions of a preservation administrator involve three distinct but interconnected areas of responsibility. The first is managing the operations of the preservation unit or operational components of the preservation program, including bindery preparation, brittle books, conservation, and collection maintenance units. The second is a dynamic and strategic decision-making role where the preservation administrator works in an advisory, planning, or policy-setting capacity, both as an advocate for the preservation program and as an integral part of the library's management team. This can include administering library-wide preservation policies, developing new preservation projects, or writing grants to expand funding resources. A third area of responsibility is the liaison function of the preservation administrator where he/she represents the library's preservation program to the university community, participates in state-wide coordinated preservation planning, or is involved in national preservation projects.

In many cases libraries will hire full-time preservation librarians who serve as department heads for a preservation unit. Alternatively, a program may be designed which coordinates the work of people throughout the library who have preservation-related responsibilities. Organization and staffing models for programs that comprise preservation units in libraries of various sizes are can be found in the Selected Documents section of this guide.[4]

Full-time Preservation Administrator. There is widespread consensus in the preservation community that a full-time preservation librarian is vital for establishing a library's preservation program. If the library does not already have a preservation administrator, the individual or committee undertaking the organizational review will recommend whether or not to hire one. Five years ago, 48 ARL libraries reported that the preservation program is managed by a full-time preservation administrator. In 1992 about 55 ARL libraries had such a position. Several factors will determine whether or not a library decides to create a full-time preservation librarian position. These relate to size and age of the collection, scope and nature of special collections, size of the library budget, and the size of the professional and support staff, and level of preservation efforts. While the creation of separate preservation units managed by a full-time preservation administrator is becoming quite common, in many libraries this has been an evolutionary process.

Part-time Preservation Administrator. One intermediate step is a part-time preservation librarian position. Due to lack of financial resources, this may be the only staff support available to launch the preservation program. However, part-time librarians usually have other duties in the library and split responsibilities require careful time management. There is a danger that a part-time administrator will focus on specific preservation projects rather than on long-term or institution-wide preservation needs.

Preservation Committee. Another possibility is to develop a program which is under the aegis of a preservation committee as Dartmouth College has done. (The preservation committee charges for Dartmouth and the University of North Carolina, as well as the organization charts for the University of Illinois at Urbana-Champaign are in the Selected Documents section of this guide.)

Regardless of whether a preservation administrator is hired, it is useful to have a preservation committee. A strategically composed committee can result in library-wide support for a preservation program. It is also a good way to distribute the work for such time-consuming activities as preparing a disaster recovery plan or holding a disaster drill.

Models for Organizing Preservation Programs--Developmental Phases

Coordinated Model. In a coordinated but decentralized program, preservation functions take place throughout the library but are not under the direct purview of a preservation administrator. It is possible to run a successful preservation program without a department. In such a program, the preservation administrator coordinates preservation activities, but does not administer a preservation department. In this model, the preservation administrator, who can be a full-time or part-time librarian, often does not supervise any staff.

Decentralization occurs for both practical and historical reasons. For example, shelving and maintenance of library materials are preservation functions, yet in many libraries these activities remain in the circulation department.

A coordinated preservation program confers certain advantages. It recognizes that preservation impacts all library functions and gives the preservation administrator oversight responsibility for the preservation functions of every department. The focus in this model is on integrating preservation into all library activities.

One critical drawback is that without budgetary and line responsibilities, the preservation administrator may lack authority necessary to direct the preservation program. Equally important, a coordinated preservation program may lack the availability and concomitant flexibility of staff dedicated full-time to preservation activities. Overall preservation may have a lower profile in the organization.

Centralized Model: Establishment of a Preservation Department. As preservation programs mature into integral functions in research libraries, centralization of core preservation functions is one critical evolutionary phase. Some preservation programs begin with a unit that already contains the core preservation activities such as commercial library binding. Other programs may begin with a decentralized structure and then become centralized as the program matures or as resources expand. In order for a library's preservation efforts to emerge as a program, establishment of a centralized preservation department is essential. While the specific components of a centralized preservation department may vary, the major operational units of preservation departments include: binding and shelf preparation; collections conservation and conservation of rare and valuable materials; and preservation replacement and reformatting. The administrative components of a preservation program may include environmental monitoring, disaster planning and preparedness, and preservation-related staff and user education.

Approaches for Reporting Structures. A major policy decision is the placement of preservation within the library organization. If the program will be managed by a full-time or part-time preservation librarian, to whom should he or she report? A number of reporting structures have been followed successfully.[5] There are four common ones:

Reporting to the Head of Collection Development

Since as early as 1980, preservation responsibilities have been linked to collection development.[6] The connection between the builders and the preservers of the collections is powerful. The relationship between preservation and collection development has been discussed in the literature from various perspectives, most recently by Atkinson and Byrnes.[7] Placing preservation within collection development is the most common organizational model in ARL

libraries. In the 1988-89 *ARL Preservation Statistics*, 21 preservation administrators were listed as reporting to heads of collection development; in the 1990-91 *Statistics* 23 librarians were listed.[8] (For sample organization charts illustrating this model see MIT and the University of Wisconsin in the Selected Documents section of this guide.) Advantages:

- Preservation policies and priorities emanate from collection development goals
- Close communication between preservation staff and selectors increases the awareness on the scope of the preservation needs, options and costs.
- Preservation librarians can work closely with selectors to make preservation decisions at point of purchase and about storage, weeding, replacement copies, and collection evaluation in consort.
- Retrospective preservation microfilming projects can be undertaken more easily because of the close relationship between preservation and collection management in determining which items will be filmed.

While a strong case can be made for placing preservation administrators within collection management, there are potential disadvantages:

- "While collection development and preservation have common objectives--to provide and protect access to information--considerable disagreement may arise over which material means should be made available. Collection development values have in many cases been designed to emphasize the perceived needs of *current* users, and only a small minority of our current users are fundamentally concerned about historical materials . . . ."[9]
- The preservation librarian is concerned with the collection as a whole and with the condition of items rather than with their age or the pattern of their use.
- Conflict may also arise over funding decisions.[10]

Reporting to the Head of Technical Services

Preservation librarians often report to heads of technical services because historically bindery operations were often housed there. Advantages:

- The nature of preservation work is similar in its emphasis on high-volume productivity to that in technical services
- It facilitates a close working relationship among catalogers and preservation staff and will strengthen the linkage between reformatting efforts and cataloging priorities.

Disadvantage:

- It is harder to maintain a close relationship with collection development.

In some libraries, collection development departments are joined with technical services. Such arrangements offer further justification for placing preservation programs there. (See Columbia University and the University of Connecticut organization charts in the Selected Documents section of this guide.)

Reporting to the Library Director

Advantages:

- The Library Director is in the best position to strengthen the preservation program and to commit needed financial resources.
- The director can also empower the preservation administrator to cross over departmental or programmatic lines. Therefore, implementation of procedures that may affect both public services and technical services will be easier.
- It underscores that preservation is a library-wide activity affecting all departments.

Disadvantage:

- Directors have many pressing demands and so it may be difficult for the preservation administrator to compete with other administrative priorities.

Other Reporting Structures

ARL libraries report a variety of other organizational patterns which include placing the preservation administrator within special collections, public services, or administrative services. There are historical precedents for the first two patterns: some of the earliest preservation positions were established in special collections departments, and at Yale the preservation program originated in the circulation department.[11] The placement of preservation activities in administrative services can probably be attributed to the fact that some preservation librarians report to the library director. (See the Virginia Commonwealth University organization chart in the Selected Documents section of this guide.)

Implementation Strategies. Once the preservation administrator has been selected and the preservation department has been organized and placed within the organization, implementation can begin. This is a critical stage of developing a preservation program. This guide takes librarians from program conceptualization through design. Implementation must be determined by each library, because no general, ubiquitously applicable model can be constructed. Implementation must be done on the basis of each individual library's structure, personnel, and established practices. However, a few general guidelines will help the preservation administrator to navigate the program through its early stages.

There are four important components of implementation: 1) communication; 2) training and education; 3) networking; 4) professional development.

Communication

The dynamics of the larger organizational framework in which the preservation program will function, require serious attention to communication. The preservation librarian must consider the underlying organizational forces and psychological factors when implementing a program. For this reason it is important for the preservation administrator to win the support of as many people as possible, from the library director, who is responsible for the library as a whole, to the para-professionals who may be carrying out the procedures. Preservation librarians must be prepared to convey frequently to all staff why the new program is so important and what the short- and long-term plans for preservation are. Staff suggestions should be elicited regularly. It is important to remember that employees see preservation issues from their own

perspectives, and their observations may be invaluable. The preservation librarian serves a crucial advocacy and information role within the library.

Training and Education

Preservation programs necessitate numerous changes in the way that library staff carry out their work.[12] Circulation and shelving practices, acquisition, cataloging, bindery preparation, and book repair are just some of the areas that will be affected during the implementation of a preservation program. One aspect of the training of staff in the implementation of a new program is the understanding that the program will necessitate change—in the way the library operates, in the normal behavior patterns of staff, and in their way of thinking about the books and the collections as a whole. Change in terms of the establishment of a preservation program will necessitate training many people--perhaps everyone who handles the books.

Part of the training, then, will be to focus not on what has hitherto been done incorrectly, but on what will improve conditions and services.

Networking

Once a library program is in operation, the preservation librarians will naturally begin to work with their counterparts in other libraries. In these lean fiscal times, increasing emphasis will be placed on consortial preservation activities. In some cases, for example with the writing of disaster-recovery plans, distributing the work among several local institutions is not only cost efficient, but it will result in the exchange of ideas.

A number of excellent regional and national programs facilitate the work of individual libraries. For example, many states have developed state-wide preservation programs which have resulted in cooperative disaster-recovery plans, needs-assessment surveys, and, in some states, workshops. Formal and informal preservation and conservation courses and workshops have been offered by the Library of Congress, the American Library Association, the Society of American Archivists, SOLINET, and many other organizations.

The economic and technological climate of the 1990s will make collaborative ventures even more imperative. The general decline in library funding throughout this country has already led to changes in collection development strategies. Libraries are increasingly implementing cooperative collection-development policies, which in turn impact on preservation priorities. With the increase in new electronic formats, many previously held assumptions about the retention of library materials are being challenged.

Professional Development and New Challenges

The rapidity with which technology is moving into libraries has impacted the field of preservation in two ways: as more library materials are published exclusively in electronic formats preservation librarians must learn how to preserve them; and, new technologies have presented new reformatting options. Preservation librarians must become more knowledgeable about these new technologies so that they can be prepared to make the difficult decisions which lie ahead. Continuing education will become an integral part of the preservation profession.

Conclusion

The success of a library's preservation program is in large part related to the effectiveness of the organizational structure and management of preservation efforts as well as the success in mobilizing needed financial resources. The preservation administrator must have a vision of the program over a number of years in order to carry out the initial changes. For example, if the budget is tight this year, one may focus on preservation activities that are not expensive to implement, such as user education as opposed to, say, air conditioning for the stacks. It is important to keep the preservation momentum going.

The preservation librarian must also keep the preservation program moving forward, remembering that "slow and steady" sometimes achieves the goal before "fast and erratic." It will take time to arrive at a smoothly functioning, successful preservation program.

Finally, the technological transformation taking place in research libraries will have a profound impact on the organization of preservation functions. New preservation technologies will radically alter the nature of preservation work. An effective preservation program must continually evaluate new approaches which make preservation resources useful and which organize preservation activities.

Notes

1. This figure is based on the list of libraries in the *ARL Preservation Statistics*, 1990-91. Washington, DC: Association of Research Libraries, 1992. Only libraries that had administrators devoting 50% or more of their time to preservation and that started their programs after 1977 were counted.

2. *ARL Preservation Statistics*, 1988-89 and 1990-91.

3. Jan Merrill-Oldham, et al. *Preservation Program Models: A Study Project and Report.* Washington, DC: Association of Research Libraries, 1991.

4. Merrill-Oldham, pp. 32-35. (These four models are reproduced in the Selected Documents section of this guide.)

5. See the *ARL Preservation Statistics* for the past several years.

6. In 1980 Northwestern University advertised for a collection development position with preservation responsibilities. See Michele Valerie Cloonan and Patricia C. Norcott. "Evolution of Preservation Librarianship as Reflected in Job Descriptions from 1975 through 1987." *College and Research Libraries* 50 (November 1989): 652.

7. Rosa Atkinson. "Preservation and Collection Development: Toward a Political Synthesis." *The Journal of Academic Librarianship* 16 no. 2 (1990): 98-103; and Margaret M. Byrnes. "Preservation and Collection Management: Some Common Concerns." *Collection Building* 9 no. 3-4 (19880: 39-45.

8. *ARL Preservation Statistics*, 1988-89 and 1990-91.

9. Atkinson, p. 99.

10. Atkinson, p. 99.

11. Cloonan, p. 652.

12. Susan C. Curson. *Managing Change: A How-to-do-It Manual for Planning, Implementing, and Evaluating Change in Libraries.* New York: Neal-Schumann, 1989.

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Staffing Preservation Programs

Cloonan, Michele. *Appendix C: Staffing Preservation-Related Activities in Libraries: A Checklist.*

Morrow, Carolyn Clark. "Staffing the Preservation Program." In *Meeting the Preservation Challenge.* Washington, DC: Association of Research Libraries, 1988. 26-30.

Preservation Librarians. Unpublished data compiled in conjunction with the ARL Preservation Statistics, 1990-1991.

Reed-Scott, Jutta and Nicola Daval. *ARL Preservation Statistics.* Washington, DC: Association of Research Libraries, 1992. 23-30.

Organizing Preservation Programs

Dartmouth College. *Preservation Committee Charge.* Reprinted with permission from Dartmouth College Library.

University of North Carolina at Chapel Hill. *Preservation Committee Charge.*

Various Organization Charts

Establishing Preservation Programs

University of Colorado at Boulder. *NEH/ARL Preservation Planning Program Final Report.* Washington, DC: Association of Research Libraries, 1990. 5-18.

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Association of Research Libraries
Committee on Preservation of Research Library Materials

Preservation Program Models:
A Study Project and Report

by

Jan Merrill-Oldham
Carolyn Clark Morrow
Mark Roosa

Association of Research Libraries
Washington, D.C.
1991

Organization and Staffing Models for Mature Preservation Programs

Introduction

The charts that follow depict basic organization and staffing models for mature preservation programs in four sizes of ARL libraries: under 2 million volumes, 2 to 3 million volumes, 3 to 5 million volumes, and over 5 million volumes. The models reflect the history and development of preservation programs over the last two decades. The models are appropriate for the preservation needs of a central library collection. They do not attempt to reflect the preservation needs of professional schools such as law and medicine, nor an extensive system of decentralized or regional campus libraries.

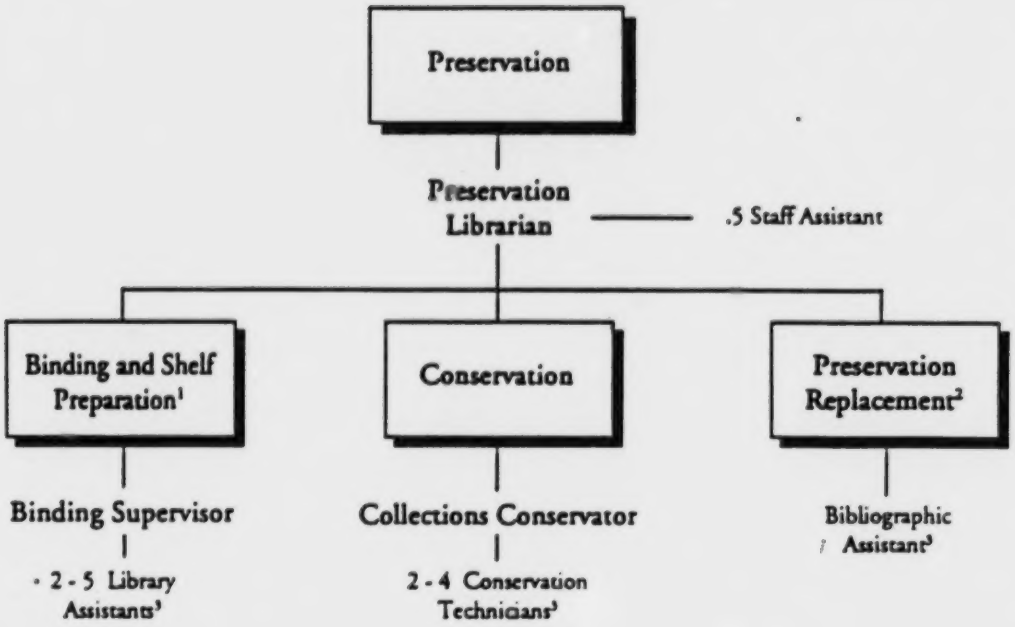
The models include four major operational units–binding and shelf preparation, conservation, and preservation replacement–but do not reflect such organizational connections as would exist between the circulation and preservation departments, or between a preservation department and a preservation committee. In addition, many staff in a research library contribute to preservation efforts, including bibliographers, stack maintenance personnel, building services managers, and catalogers. The ARL Preservation Statistics attempt to capture this information requesting statistics for staff in the preservation unit, as well as staff engaged in preservation activities library-wide.

Although the major operational units of a preservation department are covered in the models presented, the staffing and budget necessary to launch a mass deacidification program are not included. Human and material resources needed for such a program are discussed in general terms on pages 19-20, but organization and staffing levels, and models for resource allocation in relation to collections size, have yet to be developed in ARL libraries.

The operational unit responsible for preservation replacement and reformatting is shown on the various organization charts, but the level of effort depicted is for the routine identification of brittle materials through circulation and use. Additional staff and resources are needed to participate in large-scale preservation microfilming projects or to implement a retrospective effort to identify and replace brittle materials. The models assume that preservation microfilming (like commercial library binding) is a contracted service, although a photoduplication unit is shown in the organization model for collections over 5 million volumes because this activity often occurs in-house in larger libraries.

A mature preservation program is defined as one with all major operational units in place and in balance; that is, a full range of preservation options are available so that appropriate decision making and disposition of materials is possible. However, while operational units will be similar in most ARL libraries, the level of effort appropriate to a particular library will be based on many factors other than size, including the age of the library, the scope and nature of special collections, whether the library includes a major archives, the environmental conditions under which the collections have been housed over time, the percentage of collections that circulate, and the size of the student body in relation to the size of the collections.

1 Organization and Staffing Model for a Mature Preservation Program
ARL Library under 2 million volumes



Personnel: 8.5 - 13.5 FTE (2 professional)

Budget: $.3 - .7 million

% of total Library Expenditures: 5-10%

% of total Materials Expenditures: 15-30%

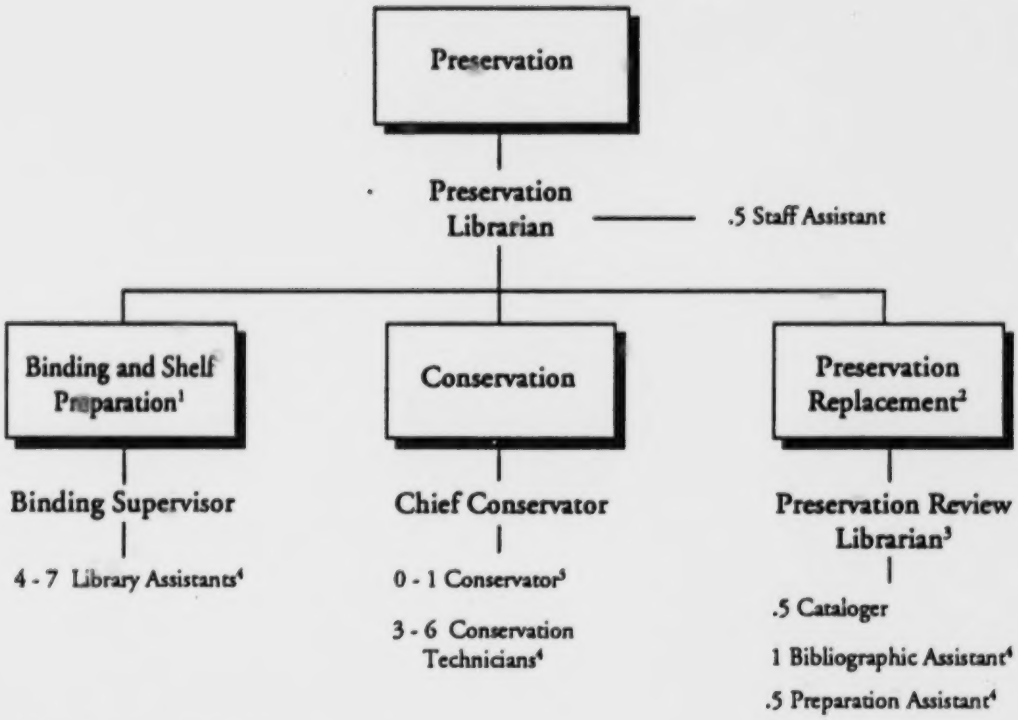
---

[1] Includes traditional binding and shelf preparation activities, but excludes personnel needed for preparation for mass deacidification.

[2] Excludes staffing for externally-funded microfilming projects. Assumes both microfilming and preservation photocopying are contracted.

[3] Paraprofessional positions could be filled with a combination of support staff and student assistants to equal FTE.

2 Organization and Staffing Model for a Mature Preservation Program
ARL Library 2 to 3 million volumes



Personnel: 13.5 - 20.5 FTE (3.5 - 4.5 professional)

Budget: $.4 - .8 million

% of total Library Expenditures: 5-10%

% of total Materials Expenditures: 15-30%

---

[1] Includes traditional binding and shelf preparation activities, but excludes personnel needed for preparation for mass deacidification.

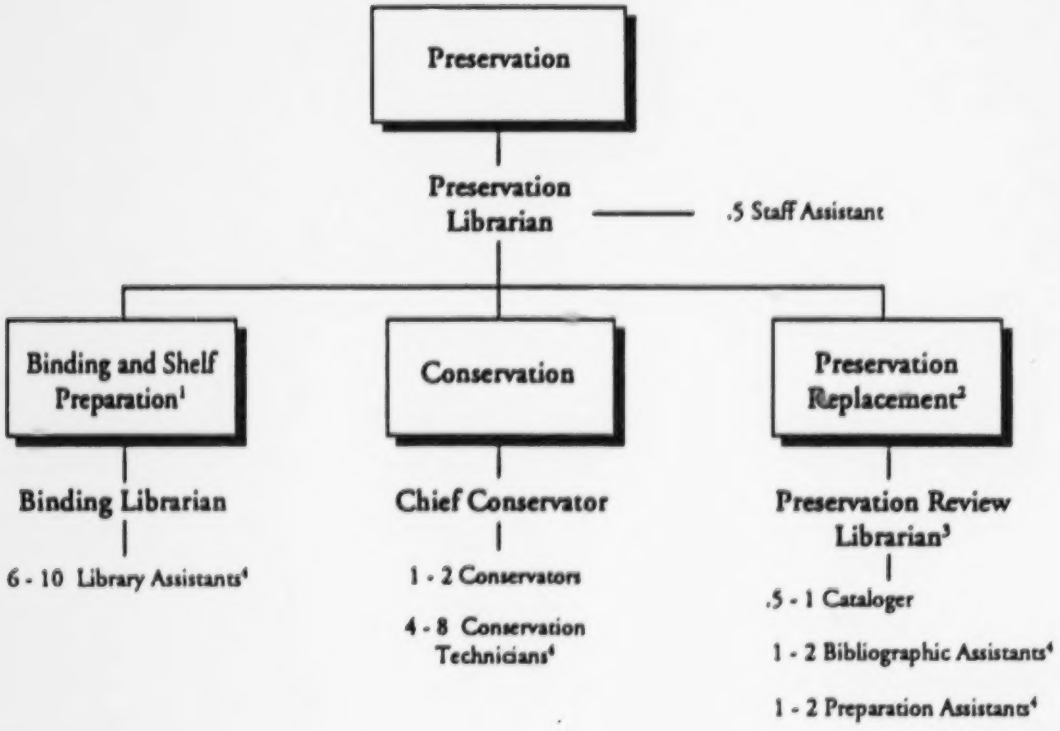
[2] Excludes staffing for externally-funded microfilming projects. Assumes both microfilming and preservation photocopying are contracted.

[3] In some libraries this position may serve as the assistant head and the bibliographic assistant and cataloger may be part of technical services.

[4] Paraprofessional positions could be filled with a combination of support staff and student assistants to equal FTE.

[5] A second Conservator may be needed depending upon the nature of special collections.

3 Organization and Staffing Model for a Mature Preservation Program
ARL Library 3 to 5 million volumes



Personnel: 18.5 - 30 FTE (5.5 - 7 professional)

Budget: $.5 - $1 million

% of total Library Expenditures: 5-10%

% of total Materials Expenditures: 15-30%

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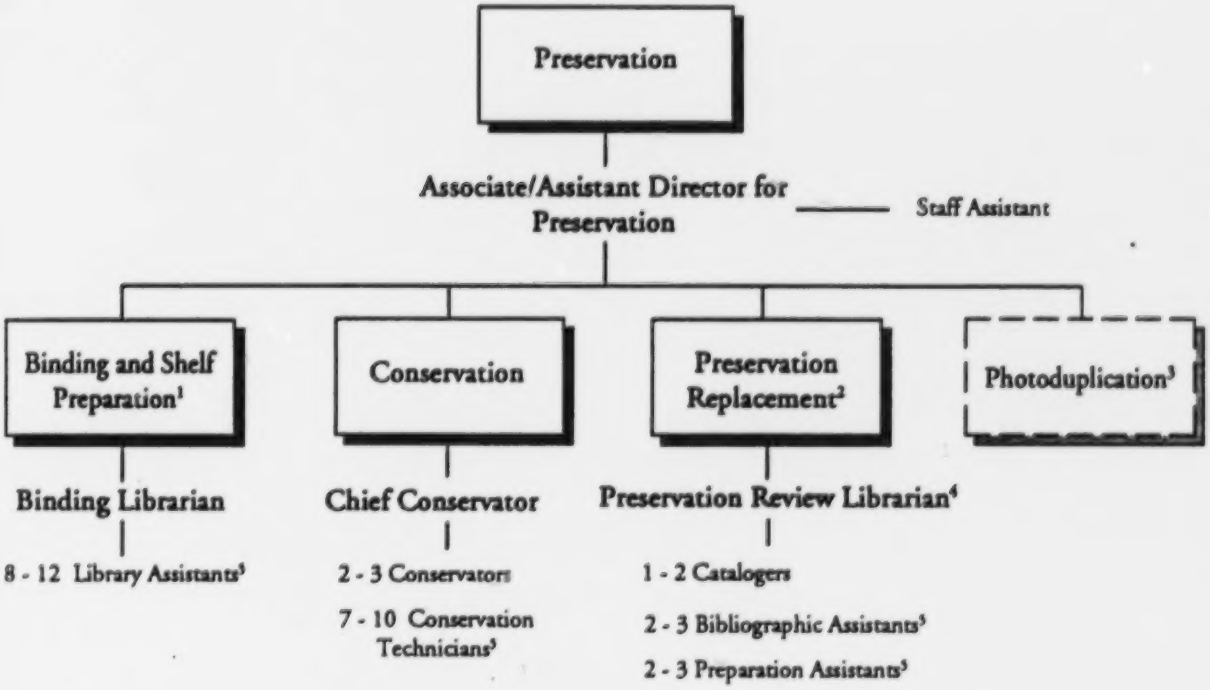
[1] Includes traditional binding and shelf preparation activities, but excludes personnel needed for preparation for mass deacidification.

[2] Excludes staffing for externally-funded microfilming projects. Assumes both microfilming and preservation photocopying are contracted.

[3] In some libraries this position may serve as the assistant head and the bibliographic assistants and cataloger may be part of technical services.

[4] Paraprofessional positions could be filled with a combination of support staff and student assistants to equal FTE.

4 Organization and Staffing Model for a Mature Preservation Program
ARL Library over 5 million volumes



Personnel: 27 - 38 FTE (7 - 9 professional)

Budget: $.8 - $3 million

% of total Library Expenditures: 5-10%

% of total Materials Expenditures: 15-30%

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[1] Includes traditional binding and shelf preparation activities, but excludes personnel needed for preparation for mass deacidification.

[2] Excludes staffing for externally-funded microfilming projects. Without a Photoduplication unit, microfilming and preservation photocopying would be contracted out.

[3] A Photoduplication unit is often associated with preservation and would typically handle microfilming and photocopying in addition to some public services functions.

[4] In some libraries this position may serve as the assistant head. Cataloging may be done in the Cataloging Dept.

[5] Paraprofessional positions could be filled with a combination of support staff and student assistants to equal FTE.

Preservation Program Benchmarks for Selected Core Activities

Introduction

The benchmarks presented herein were synthesized by the project team from the results of the 1989/90 ARL Preservation Statistics Questionnaire. In addition to this quantitative analysis, the benchmarks reflect the history and development of preservation programs in ARL libraries. They are not intended to be prescriptive, but rather are indicators of the level of effort that can be expected as a preservation program develops. As with the suggestions for organization and staffing models, the benchmarks are presented for collections of four sizes: under 2 million volumes, 2 to 3 million volumes, 3 to 5 million volumes, and over 5 million volumes. The figures reflect the level of preservation effort required for a central library collection. They are not intended to reflect the level of effort needed to provide preservation services for professional schools such as law or medicine, nor an extensive system of decentralized or regional campus libraries.

Benchmarks are presented for personnel and preservation expenditures expressed as a percentage of the total library budget. These are overall indicators of preservation program development. Production benchmarks are included for core activities that are well established, and for which statistics have been kept by the majority of libraries. Given the newness of most preservation programs and the ARL Preservation Statistics Questionnaire, and the differences in preservation record keeping from library to library, benchmarks could not be provided for all preservation activities underway in ARL libraries.

The benchmarks reflect an ideal, rather than a real, progression of preservation program development. In reality, the maturation of specific components is likely to proceed unevenly. For example, a library may have developed its commercial library binding program to Level four, but be at a Level two in its development of a brittle book replacement program. A library with a professional conservator on staff may have developed conservation activities to a Level three before it hires a preservation librarian and institutes formal preservation planning.

As a general guideline, however, Level one programs may be characterized by libraries that carry out preservation activities such as binding and book repair, but are not organized for a library-wide preservation effort that incorporates programmatic and planning elements. A preservation committee may have been appointed to assess the need for a preservation program. The committee may have sponsored staff training sessions, developed training tools such as posters and bookmarks carrying preservation messages, or put up an exhibit on preservation; and the library may be considering the initiation of an ARL Preservation Planning Program self study.

Level two programs may be characterized by libraries that have assigned certain preservation responsibilities to a professional librarian on a part-time basis, but have

not organized a preservation unit with distinct authority and responsibility for planning and development. The preservation coordinator would typically work in conjunction with a preservation committee to simulate grass roots preservation program development through such activities as preservation education sessions for staff, drafting an emergency preparedness plan, and writing a report for the director on the need for conservation services. The library may be considering or may have recently conducted a ARL Preservation Planning Program self study.

Level three programs may be characterized by libraries that have made a commitment to preservation program development, and have organized most preservation activities into a formal preservation unit under the direction of a preservation librarian. Typically the library would have conducted an ARL Preservation Planning Program self study or otherwise engaged in long-range preservation planning, and would have codified a number of library-wide preservation policies. A Level three preservation program would have core preservation components in place (i.e., conservation, binding, staff and user education, disaster preparedness, brittle book replacement); and would have identified the need for improved environmental controls, additional professional staff for preservation, and an expanded reformatting program.

Level four may be characterized by libraries that have programs of sufficient depth and breadth to make significant progress in the preservation of the retrospective collections over the next two decades, while maintaining an appropriate level of prospective preservation activity for incoming materials. Preservation policies are fully integrated into all aspects of library services. The preservation program is evolving to meet the changing needs of the collections rather than developing, as with Level three, in response to the identification of unmet needs. A Level four preservation program is likely to require further growth in order to bring the level of preservation activity into line with the need (e.g., so that the number of brittle books replaced or reformatted equals the number of brittle books identified). Staff would typically be engaged in planning for new programmatic elements such as mass deacidification and preservation of non-book collections.

1 Preservation Program Benchmarks for Selected Core Activities

ARL library with under 2 million volumes

Personnel (number of full time equivalent staff, including student assistants)

	professional	support staff	total staff
Level one:	0	< 2	< 5
Level two:	>0 – <1	2 – 5	5 – 9
Level three:	1 – <2	> 5 – 7	> 9 – 12
Level four:	>2	> 7	> 12

Expenditures as a percent of total library budget

Level one:	4 %
Level two:	> 4–5 %
Level three:	> 5–6 %
Level four:	> 6 %

Conservation Treatment (volumes treated)

	minor	intermediate
Level one:	< 1,800	< 150
Level two:	> 1,800–4,000	150–850
Level three:	> 4,000–6,000	> 850–1,500
Level four:	>6,000	> 1,500

Protective Enclosures

Level one:	< 1,000
Level two:	1,000–2,000
Level three	> 2,000–3,000
Level four:	> 3,000

Commercial Library Binding

	expenditures	number of volumes
Level one:	NA	NA
Level two:	$37–$70,000	3,700–7,000
Level three:	> $70,000–$130,000	> 7,000–13,000
Level four:	> $130,000	> 13,000

Reformatting (microfilmed and photocopied volumes)

Level one:	< 50
Level two:	> 50–300
Level three	> 300–800
Level four:	> 800

2 Preservation Program Benchmarks for Selected Core Activities

ARL library with 2 to 3 million volumes

Personnel (number of full time equivalent staff, including student assistants)

	professional	support staff	total staff
Level one:	0	< 3	< 5
Level two:	0–1	3–5	5–9
Level three:	>1–3	> 5–8	> 9–15
Level four:	> 3	> 8	> 15

Expenditures as a percent of total library budget

Level one:	< 4 %
Level two:	> 4–5 %
Level three:	> 5–7 %
Level four:	> 7 %

Conservation Treatment (volumes treated)

	minor	intermediate
Level one:	< 2,500	< 300
Level two:	2,500–5,000	300–1,000
Level three:	> 5,000–8,000	>1,000–3,000
Level four:	> 8,000	> 3,000

Protective Enclosures

Level one:	< 1,500
Level two:	1,500–3,000
Level three	> 3,000–5,000
Level four:	> 5,000

Commercial Library Binding

	expenditures	number of volumes
Level one:	NA	NA
Level two:	$80,000–$120,000	8,000–12,000
Level three:	>$120,000 –$200,000	> 12,000–20,000
Level four:	> $200,000	> 20,000

Reformatting (microfilmed and photocopied volumes)

Level one:	< 100
Level two:	100–500
Level three	> 500–1,500
Level four:	> 1,500

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3 Preservation Program Benchmarks for Selected Core Activities

ARL library with 3 to 5 million volumes

Personnel (number of full time equivalent staff, including student assistants)

	professional	support staff	total staff
Level one:	0	< 3	< 5
Level two:	1–2	> 3–8	> 6–12
Level three:	> 2–5	> 8–12	> 12–19
Level four:	> 5	> 12	> 19

Expenditures as a percent of total library budget

Level one:	< 4 %
Level two:	> 4–5 %
Level three:	> 5–7 %
Level four:	> 7 %

Conservation Treatment (volumes treated)

	minor	intermediate
Level one:	< 5,000	< 500
Level two:	5,000–7,000	500–1,000
Level three:	> 7,000–10,000	> 1,000–3,000
Level four:	> 10,000	> 3,000

Protective Enclosures

Level one:	< 3,000
Level two:	3,000–5,000
Level three	> 5,000–7,000
Level four:	> 7,000

Commercial Library Binding

	expenditures	number of volumes
Level one:	NA	NA
Level two:	$200,000–$250,000	20,000–25,000
Level three:	>$250,000 –$350,000	> 25,000–35,000
Level four:	> $350,000	> 35,000

Reformatting (microfilmed and photocopied volumes)

Level one:	< 500
Level two:	500–1,000
Level three	> 1,000–3,000
Level four:	> 3,000

4 Preservation Program Benchmarks for Selected Core Activities

ARL Library with more than 5 million volumes

Personnel (number of full time equivalent staff, including student assistants)

	professional	support staff	total staff
Level one:	0	< 5	< 10
Level two:	1–3	5–15	10–20
Level three:	> 3–7	> 15–20	> 20–30
Level four:	> 7	> 20	> 30

Expenditures as a percent of total library budget

Level one:	< 4 %
Level two:	4–6 %
Level three:	> 6–8 %
Level four:	> 8 %

Conservation Treatment (volumes treated)

	minor	intermediate
Level one:	< 10,000	< 1,000
Level two:	10–15,000	1–3,000
Level three:	> 15,000–20,000	> 3,000–5,000
Level four:	> 20,000	> 5,000

Protective Enclosures

Level one:	< 5,000
Level two:	5,000–7,000
Level three	>7,000–10,000
Level four:	> 10,000

Commercial Library Binding

	expenditures	number of volumes
Level one:	NA	NA
Level two:	$200,000–$400,000	20,000–40,000
Level three:	>$400,000 –$500,000	30,000–50,000
Level four:	> $500,000	> 50,000

Reformatting (microfilmed and photocopied volumes)

Level one:	< 1,000
Level two:	1,000–3,000
Level three	> 3,000–6,000
Level four:	> 6,000

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Karl G. Schmude

The Politics and Management of Preservation Planning

The subject of preservation is a relatively new item on the agenda of the world's libraries. No doubt it is true that the fragile and deteriorating condition of print-based materials has been known for a considerable period: in 1898, for example, an international conference was held at St. Gall on the subject of paper decay and conservation; and from the 1930s onwards, chiefly as a result of the pioneering work of the American researcher, William Barrow, the rapid rate of book and paper deterioration has been documented with increasing clarity.

Yet despite the level of technical awareness of deterioration, it has only been in recent times that an official and widespread recognition has occurred among those concerned with libraries and information services. Indeed, it is only within the past decade that the full significance of preservation has begun to be assimilated – not simply as another item added to the library agenda, but as an issue which calls for a major recasting of that agenda. Preservation is increasingly seen as an issue of fundamental importance. It places in a new light the range of policies and practices which libraries have long followed. For the value of library services will not merely be diminished by deteriorating collections, but finally destroyed, since the basis of such services – namely, material records in some form – would cease to exist.

Given the overwhelming significance of library preservation, why has it taken such a long period for the problem to gain public prominence and political attention? Why is preservation not yet attracting the kind of funding support and managerial control necessary for the future viability of library services?

The answer, in part, relates to the sheer magnitude of the issue. Preservation cannot be neatly categorised or confined. It is not readily manageable. It touches virtually all aspects of library processes and services. What libraries select and buy, what form this material comes in, how it is to be handled and housed, what conditions of access will apply to it – these and other basic issues are subject to questions of preservation, which will finally affect the decisions taken in various spheres of library operation.

In one sense, the growth of library preservation in the 1980s raises the sort of issues of politics and management as the development of library automation did in the 1960s. The advent of the computer has had a profound and pervasive impact on libraries, being first applied to library records and internal processes – so that there emerged automated versions of manual systems – and eventually advancing to a stage where it is revolutionizing the retrieval and use of information. Library automation has thus developed from an isolated tool affecting the fringes of library service to a central system that integrates and informs all aspects of information supply. Preservation would seem to be having a similar kind of conditioning influence on the priorities and perspectives of librarianship, and to be posing a similar set of political and administrative challenges. It is developing from a single concern to an issue of pervasive importance.

Apart from the diffused nature of the preservation need in libraries, a number of other factors have worked against progress in preservation planning and management. The first is that preservation represents almost a reversal, or at the very least a major new emphasis, in the contemporary shape and direction of library services. In recent decades, libraries have given major attention to promoting the use and accessibility of their collections and services – at times to the detriment of the physical condition of those collections. This is not to suggest that libraries have failed to give attention to preservation needs: they have, for example, sought to improve the physical environment in which their collections exist (by means of air-conditioning and other devices), and devoted a certain proportion of their funds to preservation measures (such as binding); but it is fair to say that preservation has not been a pronounced concern among librarians, and that the need has not been felt to reconcile the promotion of use of library collections with their durability – a balance which would ensure the long-term (and not merely the short-term) availability of the knowledge which these collections contain. In short, librarians have emphasized the imperative value of access to information, but have not given comparable attention to the condition underlying *future* access to information – namely, the preservation of library collections.

A second factor which has inhibited preservation planning is the formidable cost of preservation programmes. This cost poses special difficulties in a period when library budgets are under intense pressure – as a result of multiplying user demands, the emergence of electronic information media, the continuing explosion of printed publications, and the pressures of inflation and international currency fluctuation. To date, new technologies (such as optical disk) have not proved sufficiently reliable to relieve the financial burden of preservation efforts, and favoured programmes (like conversion to microfilm) remain formidably expensive.

A third obstacle to preservation planning has been the confusion between "restoration" and "preservation". A general tendency exists to confine "preservation" to the maintenance of rare materials and special collections, and not to comprehend it as a need which applies to library materials of all kinds and ages. While the preservation of library materials clearly has an affinity with the preservation of archival records, its nature is decidedly different in a number of respects. Library preservation involves large quantities of bound items and calls for strategies of improvement in the chemical stability of whole collections. Hence, the preservation techniques suitable for archives – such as aqueous-based methods of deacidifcation applied to individual documents – are not readily adaptable to the mass problems of library deterioration.

A fourth impediment to preservation planning has been the difficulty in developing effective forms of cooperation between libraries. There is a general recognition that no single library can master the problem of decaying collections, and that there must be a coordination of preservation programmes. However, while libraries have a long and honourable tradition of cooperation, the preservation challenge requires a measure of comprehensiveness and sophisticated planning which exceeds any previous level of cooperative achievement.

A final factor militating against preservation has been the notion of *planning*

itself, especially in a long-term context. Such planning has proved difficult in a period of swift and unabating change, and it has been at odds with a cultural climate in which obsolescence is planned rather than durability.

These various factors have not only affected preservation planning in the past. They are also of significance for the future, since they establish the political and managerial context in which preservation goals will be pursued in the 1990s.

I would now propose to set forth a number of preservation goals in relation to this political and managerial environment.

The first goal is to assert the importance of preservation as a cornerstone of library services for the future. Only by ensuring the physical durability of library materials can effective access to information be provided for forthcoming generations. The value to be attached to preservation, therefore, is the value which is attached to library services themselves. The engines of our society – economic, educational, political, technological, and cultural – will only be able to function on condition that information is preserved. The alternative is a form of collective amnesia as society loses the sources of its memory.

A second goal is the attraction of sufficient funds for preservation. Several points might be distinguished here. The first is that preservation actually involves two problems – a retrospective one pertaining to already published materials, and a present and future one relating to the practices and cost structures of the printing and publishing industries. These two dimensions require different political approaches and funding strategies. The restrospective problem calls for an injection of funds, mainly from public authorities and private agencies concerned with cultural values, to preserve materials in their existing formats or transfer them to alternative formats. By comparison, the ongoing problem requires, on the part of publishers, widespread adoption of "permanent paper". In both cases, it might prove politically effective to link the preservation of the world's heritage of recorded knowledge with the preservation of the world's natural environment and heritage of buildings. Both of the latter movements have been highly successful in achieving a political status for the cause of preservation, and a useful strategy might well be to present cultural preservation as a necessary extension of the preservation of nature and of the built environment.

Another aspect of funding is that, while preservation needs will undoubtedly force libraries to divert existing budgets from areas like book acquisitions and plant maintenance in order to shore up their collections, such needs also provide an opportunity to seek new sources of funding which libraries have not previously been able to tap to any significant extent – for instance, private foundations and government agencies outside the immediate sphere of library services.

A final observation on funding is that libraries will face the need to clarify the priority which they attach to preservation – as against other funding needs like book acquisitions. Preservation may, indeed, be legitimately seen as a form of "re-acquisition" – a process of reassembling library collections by making new judgments on the value of the material, and confirming the desirability of preserving and housing it into the future. To a growing extent, libraries may have to decide between "re-acquisition" (i. e. preservation) and "new acquisition" (i. e. purchasing new holdings), and achieve a balance between survival of the old and coverage of the new. Criteria will have to be developed – focusing on such

factors as the needs of a library's clientele and the informational and historical value of the material requiring assessment – which will enable decisions to be taken in a context of proper planning.

A third goal of preservation planning is to make clear the comprehensive nature of library preservation – that it is, indeed, preservation of "the ordinary" (as the American documentary film, *Slow Fires: On the Preservation of the Human Record*, described it), and not simply of the rare and the conspicuously valuable. Library preservation is about the basic informational needs of society, and the means necessary for continuing to service those needs. It is about the survival of a cultural heritage in the broadest sense.

A fourth goal relates to the need for cooperative endeavours in an environment of library interdependence. Strategies are already being developed – in particular countries, and even between countries – which involve the acceptance of responsibilities on the part of individual institutions within a context of goals and objectives that transcend institutions. Libraries will be called upon to adhere to preservation standards – in areas such as environmental control and handling techniques – and to produce collection development and service policies which relate to broader goals than those of an institution's local clientele. These goals will commit libraries to preserve certain portions of their collections – pertaining to a particular subject field, geographical area, historical period, and so on – which will enable other libraries to plan the development and management of their collections in a complementary way; and thereby maintain as broad a span of library materials as possible

Such goals will also be of political importance, for they are likely to offer individual libraries a new measure of financial protection, extending at least to those parts of their collections which they are building and preserving for a wider clientele (such as a national or international community). In this respect, tools of collection analysis (such as the Research Libraries Group Conspectus) have a political as well as a managerial dimension, in that they highlight the broad significance of an institution's collecting policies, and thus intensify the pressure on that institution to maintain such policies.

Conclusion

The aim of this paper has been to examine the political and managerial aspects of preservation planning. Such aspects are of relevance to library services, since they provide a key index of the value that is placed on such services. Where the preservation of library materials is neglected, the viability of library services is at risk. Thus, any effort to heighten the political profile of preservation will not only contribute to the durability of library collections. It will also serve to enhance the value of library services.

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Statement of Ownership and Management

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A Cost Model for Preservation: The Columbia University Libraries' Approach

Carolyn Harris, Carol Mandel, and Robert Wolven

Preservation of a library collection entails a variety of activities extending into many departments of a research library system. A comprehensive model is presented for identifying the processes involved in preservation efforts together with the associated costs. For each function, costs are assessed for staff time, supervision, supplies, equipment, contractual costs, and bibliographic utility use. Each process is related to the proportion of volumes in need of any particular treatment. The resulting model provides a methodology for determining unit costs that can be applied to the varying conditions of particular collections.

Preservation is a simple term used to define a complex set of activities, processes, and functions required to maintain a library collection in usable condition. Defined in the widest sense, the term preservation encompasses means of preventing damage to library materials, means of treating damaged materials, and means of replacing or reformatting materials too damaged for treatment.

The Columbia University Libraries' Preservation Department has been in place since 1974. Between 1974 and 1989, grant funding from various sources became available to support the work of the department. As this funding and the amount of work being accomplished grew, the effect of preservation activities on the rest of the Libraries' operations became more and more apparent. Those activities, which included identification and selection of materials for preservation and a variety of acquisitions and bibliographic control processes, traditionally were not covered by preservation grant funding. Yet preservation work was placing new and increased workloads on the departments responsible for these activities. In the summer of 1988, a model was developed to identify and attribute costs to all of the activities, both in the Preservation Department and elsewhere in the Libraries that support the actual preservation of a volume in the complex organization of the Columbia University Libraries.

Carolyn Harris is Director, Conservation Education Program, School of Library Service, Columbia University; Carol Mandel is Director, Technical Services, Columbia University Libraries; Robert Wolven is Assistant Director for Bibliographic Control, Columbia University Libraries. Manuscript received Feb. 10, 1990; revised Sept. 11, 1990; accepted for publication Sept. 13, 1990.

Preservation Master Planning at Columbia University Libraries

The modeling took place in the context of a preservation master planning effort. The Libraries took the opportunity to review and streamline preservation processes, to look at techniques currently provided for materials and those techniques that should be implemented to preserve new library media, and to review the collection and establish local and national subject preservation priorities within the context of the entire collection. A steering committee and three subcommittees were appointed, including the Preservation Processing Subcommittee, which reviewed and streamlined procedures for all preservation activities. A task force of the Preservation Processing Subcommittee was assigned to model costs based on the revised processes developed by the subcommittee. The task force included the Director of Technical Services, Carol Mandel, the Assistant Director for Bibliographic Control, Robert Wolven, and the Assistant Director for Preservation, Carolyn Harris. Units in the Resources Group (including bibliographers), the Technical Services Group (including preservation, acquisitions, pre-order searching, cataloging with copy, original monographs cataloging and catalog maintenance), and in the Academic Information Services Group (including collection maintenance and departmental librarians) provided data for the models.

For the purpose of a specific funding proposal prepared for the National Endowment for the Humanities (NEH) the task force related the generic process models to a specific collection of materials in the history of Western Civilization. The collection includes materials in philosophy and religion, classics, medieval history, and literature. A condition survey of those materials provided the data for developing the budget for the NEH proposal.

Need for New Preservation Cost Models

The Columbia University Libraries have participated in various studies of preservation costs including the Tantalus study, published by the Council on Library Resources,[1] and the Research Libraries Group cost study by Patricia McClung, published in *Library Resources & Technical Services*.[2] Each of these studies included the major functions within each process of preservation, but in every case, there were many activities that took place so "automatically" that they were not considered significant enough to include in the costs. Because many of these activities take place in departments throughout a library, they tend to be quietly "absorbed."

However, the prospect of a significant increase in preservation activity (e.g., the possibility of a very large grant from the NEH) made it clear that these "automatic" processes could not continue to be incorporated into the ongoing activity of departments without additional support. It became necessary to identify every related function and understand its cost. Just as a large increase in a library's acquisitions level would affect workloads and staffing throughout the processing flow and in access service units (e.g., shelving), the impact of an increase in the level of preservation activity can reverberate throughout library departments.

The model presented in this article reflects the processes and costs in the Columbia University Libraries at a particular point in time. These processes are complex because of the relatively complex nature of the Columbia University Libraries. However, since the processes are broken down into considerable detail, other libraries may be able to pick and choose relevant functions and reassemble them as appropriate to their own situation. It is expected that while other libraries will have similar costs and procedures, they may also be able to streamline some areas in ways that Columbia cannot. On the other hand, Columbia's relatively long experience in preservation work and large scale may enable unusually efficient procedures in some areas.

Preservation Activities

A research library collection contains a rich mix of materials with a multiplicity

of physical and bibliographic characteristics that affect preservation decisions: serials, monographs, continuations, new and old materials, ephemeral pamphlets, heavily used materials, little-used titles, strong alkaline paper, weak newsprint, illustrations and color reproductions. To preserve a collection in any one subject area requires an understanding of all these variables and the implications of each for preservation treatment. Condition is related to many factors, the most important of which are:

1. the chemical and physical attributes of the piece itself;
2. use;
3. environment; and
4. previous preservation activities (such as library binding).

Therefore, preservation activity requires a mix of preservation techniques—from rebinding and creating protective enclosures to microfilming—based on the condition of the original. It is inappropriate to microfilm a volume that is in stable usable condition, just as it is inappropriate (if not impossible) to rebind or repair a volume with highly embrittled paper that cannot withstand any further use.

The primary goal of preservation is to use the most cost-effective means possible to preserve the functional integrity of the collections. This requires a system of preservation triage to determine both the urgency and type of treatment needed on a case-by-case basis. Thus the activities and the costs of any project are based on the results of a condition survey, a plan, and a set of criteria for addressing each of the problems identified. The narrative that follows describes the workplan developed by Columbia Libraries for preserving its humanities collections.

The first step is a careful cleaning of the volumes. Then, based upon an inventory of all volumes in selected areas, missing items are selectively replaced with either reprints or previously produced microfilm; well-bound books with brittle but undamaged paper are identified for future handling and attention and returned to the shelf; some items are repaired, rebound or boxed; and volumes found to be both brittle and structurally unsound are microfilmed. In a small proportion of cases, a parallel preservation photocopy will be made in addition to film when projected intensity of use dictates.

Cleaning

Consisting of a careful vacuuming and hand-wiping as necessary, cleaning protects the volumes from the damaging effects of the acidic particulate pollutants that have inundated these collections over the years.

Inventory/Identification/ Physical Examination

Deteriorated materials are identified by item-by-item inspection. Working in two-person teams trained to recognize deterioration, staff first make sure volumes are in proper call number order, then remove from the shelf material that are in need of preservation attention. They check for intact binding and leaf attachment and brittle paper.

As a result of this inventory, volumes are categorized as follows: missing; nonbrittle paper, binding sound (require no treatment); nonbrittle paper, binding unsound; sound bindings, brittle paper; and unsound bindings, brittle paper.

Replacement of Missing Volumes

Some volumes have been lost over the long history of the collections. A decision must be made by the appropriate subject area selector whether to replace a missing item in order to maintain the usefulness of the collection.

Treatment of Volumes with Nonbrittle Paper, Bindings Damaged

These volumes are repaired in the in-house repair facility, if only minor repairs are needed, or sent to a commercial library binder for rebinding. Repair procedures include repairing or replacing covers that should be retained in the original, mending leaves, guarding and hinging leaves and plates, tipping-in replacement pages, and replacing pamphlet binders. Commercial library binding involves recasing when possible, or rebinding the volume. Volumes with brittle but intact paper and sound

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bindings are left on the shelf because they are still serviceable and are not in immediate danger.

Treatment of Volumes with Brittle Paper and Unsound Bindings

These volumes are reviewed by a selector to determine whether the volumes should be withdrawn or replaced. (If the decision is to replace, the titles require searching for existing paper or microfilm replacements.) If no replacement exists, the title will be processed for preservation microfilming, and in the few cases where heavy use warrants the additional expense, preservation photocopying. (Columbia policy is to create a master microfilm for all items being preserved. Thus preservation photocopying is an additional expense.) If the volume has artifactual value or the information contained would not be useful on microfilm, that volume will be given a protective enclosure.

Modeling Preservation Activities

These activities translate into a complex set of library operations. To better understand the costs involved, it is necessary to examine each activity in detail. The steps identified as necessary for modeling each of the basic processes of preservation were:

1. Identifying the basic processes and specifying the workflow required for each.
2. Identifying all the functions encompassed within each process.
3. Identifying the staffing and time necessary for each function.
4. Identifying and modeling the costs related to each function.
5. Relating each process and function cost to the percentage of volumes representing each preservation problem present in the collection, as determined by the condition survey.
6. Developing project milestones based on the total number of each function that needed to be performed and the time limits of the specific project. This provided the total staffing requirements for the detailed planning of the project.

Several tables and appendixes illustrate each of the steps in the modeling effort. Each is discussed in turn.

- Table 1 is the spreadsheet of the costs of each of the preservation processes used in the Libraries. Related to table 1 are appendix A: Preservation Processes Outline and appendix B: Preservation Project Participants: Roles.
- Table 2 is the spreadsheet of preservation costs broken down by functions; a number of these functions occur in more than one process. Related to table 2 are appendix C: Activities Outline of Preservation Functions Relating to Processes, Table 3: Preservation Functions, Staff Minutes per Volume, and Table 4: Staffing Cost Assumptions.
- Table 5 relates the information in table 1 (by process) and appendix C (by function) to the findings of the condition survey. This spreadsheet gives the total costs for each process, each function, and for the project. It is designed so that the number of volumes shown at the top is an assumption that can be isolated and changed.
- Table 6 presents the project milestones, and table 7 the staffing necessary per year for each function, based on the milestones.

Preservation Processes (Tables 1, 3–4, Appendixes A–B)

The first step in the modeling project was the intellectual description of each process required to treat an individual item for preservation. Those activities included were cleaning; identification through an inventory process; retention decision by bibliographers; the search for availability of a replacement or existing preservation film; microfilming; physical treatments such as repairing, rebinding, and boxing; and replacement processing and bibliographic control and catalog maintenance activities. A flow chart of each activity was prepared. Staff costs were identified for the tasks within each process. For each function, minutes of time per level of staff were identified. Each level of staff was costed at current salary levels plus benefits, working 1,200 "production"

TABLE 1

PRESERVATION PROCESSES—COSTS PER VOLUME IN 88/89

No.	Process	Dept.	Staff	Supvn	RLIN srch	RLIN term	Proc	Connect	Shipping	Supplies	Equip	Total	Totalvol
A.	Withdrawal (bib)												
A.1	Bibl. review		$ 2.61									$ 2.61	$ 2.01
A.2	GC withdrawal	CatMa	6.47	$0.47								6.94	5.34
A.3	RLIN withdrawal*	CatMa	0.18	0.02	$0.02							0.22	0.17
A.4	NOTIS delete†	CatMa	0.20	0.01								0.21	0.16
A.5	Dept. card withd.	DptLib	3.19	0.25								3.44	2.65
A.6	Clear cc:	DptLib	0.30									0.30	0.23
	Withdrawal (bib) total		$12.95	$0.73	$0.02	$0.00	$ 0.00	$0.00	$0.00	$0.00	$0.00	$13.72	$10.56
	*18% of total withdrawals; cost of 18% spread over all												
	†20% of total withdrawals; cost of 20% spread over all												
B.	Withdrawal (item)												
B.1	Item removal	SbiRec	$ 0.96									$ 0.96	$ 0.96
	Withdrawal (item) total		0.96									0.96	0.96
C.	Replacement purchase												
C.1	Initial bibl. review		2.61									2.61	2.01
C.2	Bibl/pre-ord search‡		7.92	$0.35	$0.06	$0.10						8.33	6.41
C.3	Order typing	COMSU	1.52	0.05								1.57	1.21
C.4	Bibl. review order*		0.26									0.26	0.20
C.5	Place order	OrPCa	1.68	0.18	0.55	0.10						2.51	1.93
C.6	Receive/pay	Acq	2.80	0.30	0.46	0.10	$25.00					28.66	29.74
C.7	Precat process	OrPCa	4.79	0.26	0.55	0.10						5.70	4.38
C.8	Cataloging†	CatCopy	10.25	1.31	0.11	0.15						11.85	9.12
C.9	Binding*	MatPro	0.20	0.02				$0.50		$0.00		0.72	0.71
C.10	Shelf process	MatPro	0.61	0.06								0.67	0.67
C.11	Dept. receipt	DptLib	3.00	0.15								3.15	2.42
C.12	Withdrawal/bibl§	A.2-6	8.57	0.60	0.02	0.00	0.00	0.00	$0.00	$0.00	$0.00	8.89	6.84
	Replacement total		$43.01	$3.28	$2.55	$0.55	$25.00	$0.50				$84.91	$65.65

*10% of total; costs of 10% spread over all

†Average costs of 20%. The replacements and 80% new ref. cataloging

‡50% of total replacements; costs of 50% spread over all

§RLIN/OCLC search; OCLC search for 67% spread over all

TABLE 1 (cont.)

PRESERVATION PROCESSES—COSTS PER VOLUME IN 88/89$

No.	Process	Dept.	Staff	Supv	RLIN ver.	RLIN term	Prep	Contract	Shipping	Supplies	Equip	Total	Total/vol.
D.	Replacement desiderata listing												
D.1	Initial bibl. review		$ 2.61									$ 2.61	$ 2.01
D.2	Bibl/pre-ord search‡	CCMSU	7.02	$ 0.35	$ 0.86	$ 0.10						8.33	6.41
D.3	Order typing	CCMSU	1.52	0.05								1.57	1.21
D.4	Bibl. review order*		0.26									0.26	0.20
D.5	Place order†	O/PCat	0.84	0.09	0.28	0.10						1.31	1.00
D.6	Rec neg. response†	Acq	0.48	0.06	0.23	0.10						0.87	0.67
D.7	O.P request	Acq	1.06					1.00				2.06	1.58
D.8	Bibl. desider. file		2.60									2.60	2.00
	Desiderata total		$18.39	$ 0.55	$ 1.37	$ 0.30		$ 1.00				$19.61	$15.08
	*10% of total orders; costs of 10% spread over all												
	†50% of desiderata determined to be unavailable only after ordering												
	‡RLIN/OCLC search; OCLC search for 67% spread over all												
E.	Rebinding												
E.1	Prepare binding slip	MatPro	$ 0.91	$ 0.09						$ 0.01		$ 1.01	$ 1.01
E.2	Commercial bind							$10.00				10.00	10.00
E.3	Pack/unpack	MatPro	0.15	0.01								0.16	0.16
E.4	Shelf process	MatPro	0.61	0.06								0.67	0.67
E.5	Clear circ.	DptLib	0.30									0.30	0.23
	Rebinding total		$ 1.97	$ 0.16	$ 0.00	$ 0.00	$ 0.00	$10.00	$ 0.00	$ 0.01	$ 0.00	$12.14	$12.07
F.	Boxing												
F.1	Prepare binding slip	MatPro	$ 0.91	$ 0.09						$ 0.01		$ 1.01	$ 1.01
F.2	Create box	Cons						$10.00				10.00	10.00
F.3	Clear circ.	DptLib	0.30									0.30	0.30
	Boxing total		$ 1.21	$ 0.09	$ 0.00	$ 0.00	$ 0.00	$10.00	$ 0.00	$ 0.01	$ 0.00	$11.31	$11.31

C.	Repair												
C.1	Prepare binding slip	MatPro	$ 0.91	$ 0.09							$ 0.01	$ 1.01	
C.2	Repair work (ave.)	Cons	6.38	1.28						1.83		9.49	9.49
C.3	Clear circ.	DptLib	0.30									0.30	0.23
	Repair total		$ 7.59	$ 1.37	$ 0.00	$ 0.00	$ 0.00	$ 0.00	$ 0.00	$ 1.84	$ 0.00	$10.80	$10.73
H.	Microfilming												
H.1	Initial bibl. review		$ 2.61									$ 2.61	$ 2.01
H.2	Bib/aval. search†	CCMSU	7.02	$ 0.35	$ 0.86	$ 0.10						8.33	6.41
H.3	Prep. incl. queue	PRO	6.38	0.64	0.11	0.14						7.27	5.59
H.4	Filming	MAPS						$22.50	$ 0.72			23.52	23.52
H.5	Qual control‡	Repro	0.03									0.03	0.03
H.6	Post-film process	PRO	3.19	0.32								3.51	2.70
H.7	MN storage§	PRO	0.13	0.02				0.12	0.20			0.47	0.47
H.8	Print. master store§	PRO	0.13	0.02				0.15				0.30	0.30
H.9	Cataloging	OMC	9.41	1.50	1.47	0.43						12.81	9.85
H.10	Shelflist/label	CatMat	1.92	0.25								2.17	2.17
H.11	Withdrawal (bib)*	A-2-6	5.17	0.38	0.01	0.00	$ 0.00	0.00	0.00	$ 0.00	$ 0.00	5.56	4.27
H.12	Withdrawal (item)*	All B	0.48	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.48	0.48
H.13	Pos. recpt/store	DptLib	1.50	0.08								1.58	1.58
H.14	Clear circ record*	DptLib	0.15									0.15	0.12
	Microfilming total		$38.12	$ 3.56	$ 2.45	$ 0.67	$ 0.00	$22.07	$ 0.92	$ 0.00	$ 0.00	$68.79	$59.50
	*50% of total filmed spread over all												
	†RLIN/OCLC search; OCLC search for 67% spread over all												
	‡10% of total filmed, spread over all												
	§5 titles/reel												
I.	Photocopying												
I.1	Prepare forms	PRO	$ 0.91	$ 0.09							$ 0.01	$ 1.01	$ 1.01
I.2	Commercial copy							$65.00				65.00	65.00
I.3	Pack/unpack	PRO	0.15	0.02					$ 1.00			1.17	1.17
I.4	Process receipt	PRO	1.60	0.16								1.76	1.35
I.5	Cataloging	OMC	3.12	0.20	$ 0.12	$ 0.19						3.63	4.33
I.6	Shelflisting	CatMat	1.92	0.25								2.17	1.67
I.7	Shelf process	MatPro	0.61	0.06								0.67	0.67
	Photocopying total		$10.31	$ 0.78	$ 0.12	$ 0.19	$ 0.00	$65.00	$ 1.00	$ 0.01	$ 0.00	$77.41	$75.20

TABLE 1 (cont.)

PRESERVATION PROCESSES—COSTS PER VOLUME IN 88/89$

No.	Process	Dept.	Staff	Supv	RLIN src	RLIN term	Price	Contract	Shipping	Suppliers	Equip	Total	Total/vol.
J.	Inventory												
J.1	Cleaning							$ 0.10				$ 0.10	$ 0.10
J.2	Shelfread	CCMSU	$ 0.03									0.03	0.03
J.3	Inventory	CCMSU	0.18	$ 0.02								0.20	0.20
J.4	Quick search*	CCMSU	0.25	0.01								0.26	0.20
J.5	Form prep.†	CCMSU	0.69	0.01						$ 0.02		0.72	0.55
	Inventory total		$ 1.15	$ 0.04	$ 0.00	$ 0.00	$ 0.00	$ 0.10	$ 0.00	$ 0.02	$ 0.00	$ 1.31	$ 1.08

*7% of total inventoried, spread over all
†23.5% of total inventoried, spread over all

TABLE 2

PRESERVATION FUNCTIONS—COSTS PER VOLUME IN 88/89$

No.	Function	Dept.	Staff	Supv	RLIN src	RLIN term	Price	Contract	Shipping	Suppliers	Equip.	Total	Total/vol.
1	Inventory												
	Cleaning							$0.10				$0.10	$0.10
	Shelf read	CCMSU	$0.03									0.03	0.03
	Inventory	CCMSU	0.18	$0.02								0.20	0.20
	Quick search	CCMSU	0.25	0.01								0.26	0.20
	Form prep.	CCMSU	0.69	0.01						$0.02		0.72	0.55
	Inventory total		$1.15	$0.04	$0.00	$0.00	$0.00	$0.10	$0.00	$0.02	$0.00	$1.31	$1.08
2	Bibliographic review												
	Initial bibl. review		$2.61									$2.61	$2.01
	Bib. review total		$2.61									$2.61	$2.01
3	Searching												
	Bibl/pre-ord search	CCMSU	$7.02	$0.35	$0.86	$0.10						$8.33	$6.41
	Searching total	CCMSU	$7.02	$0.35	$0.86	$0.10						$8.33	$6.41
4	Repl. ordering												
	Order typing	CCMSU	$1.52	$0.05								$1.57	$1.21
	Bibl. review order		0.26									0.26	0.20
	Place order	O/PCat	1.68	0.18	$0.55	$0.10							
	Ordering total		$3.46	$0.23	$0.55	$0.10	$0.00	$0.00	$0.00	$0.00	$0.00	$4.34	$3.34
5	Desiderata processing												
	Order typing	CCMSU	$1.52	$0.05								$1.57	$1.21
	Bibl. review order		0.26									0.26	0.20
	Place order	O/PCat	0.84	0.09	$0.28	$0.10						1.31	1.00
	Rec neg. response	Acq	0.48	0.06	0.23	0.10						0.87	0.67
	O.P. request	Acq	1.06					$1.00				2.06	1.58
	Bibl. desider. file		2.60									2.60	2.00
	Desiderata total		$6.76	$0.20	$0.51	$0.20	$0.00	$1.00	$0.00	$0.00	$0.00	$8.67	$6.66
6	Replacement receipt												
	Receive/pay	Acq	$2.80	$0.30	$0.46	$0.10	$35.00					$38.66	$29.74
	Precat process.	O/PCat	4.79	0.26	0.55	0.10						5.70	4.38
	Receipt total		$7.59	$0.56	$1.01	$0.20	$35.00	$0.00	$0.00	$0.00	$0.00	$44.36	$34.12
7	Replacement cataloging												
	Cataloging	CnCopy	$10.25	$1.31	$0.11	$0.18						$11.85	$9.12
	Binding	MatPrp	0.20	0.02				$0.50		$0.00		0.72	0.71
	Shelf process.	MatPrp	0.61	0.06								0.67	0.67
	Dept. receipt	DptLib	3.00	0.15								3.15	2.42
	Repl. cat. total		$14.06	$1.54	$0.11	$0.18	$0.00	$0.50	$0.00	$0.00	$0.00	$16.39	$12.92

TABLE 2 (cont.)

PRESERVATION FUNCTIONS—COSTS PER VOLUME IN 88/89$

No.	Function	Dept.	Staff	Supv.	RLIN src	RLIN term	Proc	Contract	Shipping	Supplies	Equip.	Total	Total/vol
8	Filming												
	Prep, incl. queue	PRO	$6.38	$0.64	$0.11	$0.14						$7.27	$5.59
	Filming	MAPS						$22.80	$0.72			23.52	23.52
	Qual control	Repro	$0.03									0.03	0.03
	Post-film process	PRO	3.19	0.32								3.51	2.70
	MN storage	PRO	0.13	0.02				0.12	0.20			0.47	0.47
	Print. master store	PRO	0.13	0.02				0.15				0.30	0.30
	Filming total		$9.86	$1.00	$0.11	$0.14	$0.00	$23.07	$0.92	$0.00	$0.00	$35.10	$32.61
9	Photocopying												
	Prepare forms	PRO	$0.91	$0.09						$0.01		$1.01	$1.01
	Commercial copy							$65.00				65.00	65.00
	Pack/unpack	PRO	0.15	0.02					$1.00			1.17	1.17
	Process receipt	PRO	1.60	0.16								1.76	1.35
	Photocopy total		$2.66	$0.27	$0.00	$0.00	$0.00	$65.00	$1.00	$0.01	$0.00	$68.94	$68.53
10	Catalog film												
	Cataloging	OMC	$9.41	$1.50	$1.47	$0.43						$12.81	$9.85
	Shelflist/label	CatMai	1.92	0.25								2.17	2.17
	Pos. recpt/store	DptLib	1.50	0.08								1.58	1.58
	Clear circ record	DptLib	0.15									0.15	0.12
	Catalog film total		$12.98	$1.83	$1.47	$0.43	$0.00	$0.00	$0.00	$0.00	$0.00	$16.71	$13.72
11	Catalog photocopy												
	Cataloging	OMC	$5.12	$0.20	$0.12	$0.19						$5.63	$4.33
	Shelflisting	CatMai	1.92	0.25								2.17	1.67
	Shelf process	MatPro	0.61	0.06								0.67	0.67
	Catalog copy total		$7.65	$0.51	$0.12	$0.19	$0.00	$0.00	$0.00	$0.00	$0.00	$8.47	$6.67
12	Withdrawal, bibl.												
	GC withdrawal	CatMai	$6.47	$0.47								$6.94	$5.34
	RLIN withdrawal	CatMai	0.18	0.02	$0.02							0.22	0.17
	NOTIS delete	CatMai	0.20	0.01								0.21	0.16
	Dept. card wtdrl	DptLib	3.19	0.25								3.44	2.65
	Clear circ.	DptLib	0.30									0.30	0.23
	Bibl. w/drw total		$10.34	$0.75	$0.02	$0.00	$0.00	$0.00	$0.00	$0.00	$0.00	$11.11	$8.55
13	Withdrawal, item												
	Item removal	ShiRec	$0.96									$0.96	$0.96
	Withdrawal (item) total		$0.96									$0.96	$0.96
14	Rebinding												
	Prepare binding slip	MatPro	$0.91	$0.09						$0.01		$1.01	$1.01
	Commercial bind							$10.00				10.00	10.00
	Pack/unpack	MatPro	0.15	0.01								0.16	0.16
	Shelf process	MatPro	0.61	0.06								0.67	0.67
	Clear circ.	DptLib	0.30									0.30	0.23
	Rebinding total		$1.97	$0.16	$0.00	$0.00	$0.00	$10.00	$0.00	$0.01	$0.00	$12.14	$12.07
15	Boxing												
	Prepare binding slip	MatPro	$0.91	$0.09						$0.01		$1.01	$1.01
	Create box	Cons						$10.00				10.00	10.00
	Clear circ.	DptLib	0.30									0.30	0.30
	Boxing total		$1.21	$0.09	$0.00	$0.00	$0.00	$10.00	$0.00	$0.01	$0.00	$11.31	$11.31
16	Repair												
	Prepare binding slip	MatPro	$0.91	$0.09						$0.01		$1.01	$1.01
	Repair work (ave.)	Cons	6.38	1.28						1.83		9.49	9.49
	Clear circ.	DptLib	0.30									0.30	0.23
	Repair total		$7.59	$1.37	$0.00	$0.00	$0.00	$0.00	$0.00	$1.84	$0.00	$10.80	$10.73

TABLE 3

PRESERVATION FUNCTIONS—STAFF MINUTES PER VOLUME

Function	Librarian	SCAT 9	SCAT 8	BA V	BA IV	CA III	CA II
Inventory							
CCMISU			01				25
Bibliographer review	15						
Searching							
CCMISU			05		180		
Replacement ordering							
CCMISU			01		37		
Bib	04						
OPUCat		04		40			
Desiderata processing							
CCMISU			01		37		
Bib	42						
OPUCat		02		19			
Acq		24			12		
Replacement receipt							
Acq		07			68		
OPUCat		06		110			
Replacement cataloging							
Cat Copy	19			215			
MatPro			02			27	
CCMISU			01			18	
Filming							
Pro	15				212		
Photocopying							
Pro	04				70	05	
Cataloging							
OMC	22			215			
CatMat	05				86		
CCMISU			02			53	
Cataloging photocopy							
OMC	03				117		
CatMat	05				48		
MatPro			02			20	
Withdrawal bibl							
CatMat	07				165		
CCMISU			06			88	
Withdrawal item							
ShelRe					30		
Rebinding							
MatPro			05			35	
CCMISU						08	
Boxing							
MatPro			03			30	
CCMISU						08	
Repair							
MatPro			03			30	
Cons	25				800		
CCMISU						38	

hours per year. The 1,200 hours per year is realistic given the Columbia vacation, sick leave, and tuition exemption programs. It also excludes time spent on breaks, lunch, and any other activity not directly related to the production function modeled. Professional staff were costed at 1,300 "production" hours per year since they tend to work longer hours, omit break periods, etc.

Each activity entailed costs beyond salaries and benefits of production staff. Those were identified as supervision, supplies, equipment, contract costs, purchase costs, RLIN terminal costs, and RLIN and OCLC searching costs. Supervision was based on a percentage of the staff costs. Contract, supplies, and purchase costs reflect current Columbia costs or averages based on industry statistics. Overhead was excluded, as was equipment that would only apply if a separate unit had to be set up because of the large number of transactions. Some unit costs were calculated on a per title basis. In order to derive a cost per volume, per title unit costs were divided by 1.3 volumes per title. Table 1 shows the costs, in 1989 dollars, of each process modeled. In each case, certain assumptions were made that informed the model. The processes that were modeled are described below.

TABLE 4

STAFFING COST ASSUMPTIONS: 1988–89$

Level	Salary ($)	Sal. + fringe ($)	Prod Hr ($)	Prod Min ($)
Bibliographer	32,000	40,640	31.26	.521
SCAT 9	20,000	25,400	21.17	.353
SCAT 8	18,500	23,495	19.58	.326
BA V	19,055	24,200	20.17	.336
BA IV	18,070	22,950	19.12	.319
CA III	17,202	21,848	18.21	.304
CA II	16,660	21,158	17.63	.294

Withdrawal (bib). A bibliographer reviews each item and determines whether withdrawal is appropriate. The bibliographic record for each volume that is withdrawn from the collection because of preservation review or because of replacement by reprint or microfilm entails the bibliographic withdrawal process. This involves pulling the card sets, deleting online records in RLIN (assuming that 18% of the titles are in RLIN) and in the local NOTIS system (assuming that 20% of the items will have NOTIS records). The departmental card catalogs and circulation records must be cleared.

Withdrawal (item). If the item is withdrawn, the physical volume is packed and removed for disposal. At Columbia this takes the form of packing in the shipping room and removal to an offsite location.

Replacement Purchase. A bibliographer determines that the item should be replaced. The title is searched for available replacements, the order is prepared and placed via RLIN. If the searching or order process turns up unanticipated results (e.g., a variant edition arrives), estimated at 10% of the total, there will be a second bibliographer review. Records will be entered into the RLIN acquisitions system by the Order/Pre-Cataloging Records section. When received, the replacement is checked against the order, and the payment processed. Based on experience at Columbia, the model assumes that 20% will be true replacements and not need new cataloging, but 80% will be different editions or formats and will require new catalog records. The costs for true and variant edition replacements are averaged overall. If items are paperbound (an estimated 10%) they will be sent for first-time binding by the commercial binder. The volumes will require shelf processing and departmental record-clearing. The 80% that are not true replacements will require that the bibliographic records for the originals be withdrawn.

Replacement Desiderata Listing. Many missing titles cannot be replaced. Fifty percent of those titles not available will only be determined to be unreplaceable after the order has been placed and rejected by a vendor or publisher. The process requires: searching, ordering, a second bibliographer review of the 10% that do not meet the stated requirements, placement of orders for the 50%,

TABLE 5

PRESERVATION PROJECT MODEL

Category	BY PROCESS No. of vols: 155,380 % of cat.	% of total	No.	Cost FY89
Missing		5.0%	7,769	
Replacement	50.0%	2.50%	3,885	$254,979
Desiderata	30.0%	1.50%	2,331	35,147
Withdraw (bib)	20.0%	1.00%	1,554	16,409
Brittle/stable		26.66%	41,426	0
Brittle/unstable		12.45%	19,342	
Repair	10.5%	1.31%	2,029	21,770
Box	2.8%	0.34%	534	6,036
Replace	16.0%	2.00%	3,101	206,540
Film	54.7%	6.81%	10,577	629,359
Film and photo.	6.1%	0.76%	1,178	158,681
Withdraw	9.9%	1.24%	1,923	22,155
Not brittle/OK		49.95%	77,609	0
Not brittle/not OK		5.94%	9,234	
Repair	52.3%	3.11%	4,825	51,775
Rebind	47.7%	2.84%	4,409	53,214
Inventory		100.00%	155,380	167,810
Total cost FY89				$1,623,874

Function	BY FUNCTION No. of vols: 155,380 No.	Cost FY89
Inventory	155,380	$167,810
Review	24,549	49,343
Search	21,072	135,071
Order	6,986	23,332
Des. proc	2,331	15,522
Repl. rec	6,986	238,352
Repl. cat	6,986	90,255
Film	11,736	383,464
Photocopy	1,178	80,731
Film cat.	11,736	161,255
Photo cat.	1,178	7,857
Withdraw (bib)	14,943	127,765
Withdraw item	10,902	10,466
Rebind	4,409	53,214
Box	534	6,036
Repair	6,854	73,546
Total		$1,624,049

Note: Slight differences in bottom line totals due to rounding costs per volume used in formulas to whole cents.

TABLE 6

PRESERVATION PROJECT MILESTONES

Function	Total no.	Quarter 1	2	3	4	5	6	7	8	9	10	11	12
Inventory	155,380	23,307	38,845	38,845	31,076	23,307							
Bibl. rev.	24,549	4,091	4,091	4,091	4,092	4,092	4,092						
Search	21,072	2,107	3,793	3,793	3,793	3,793	3,793						
Repl. order	6,986		699	1,257	1,257	1,257	1,258	1,258					
Repl. receipt	6,986			699	1,257	1,257	1,257	1,258	1,258				
Repl. cat.	6,986				699	1,257	1,257	1,257	1,258	1,258			
Desiderata proc	2,331			351	396	396	396	396	396				
Microfilm	11,736				1,173	1,173	1,881	1,881	1,881	1,881	1,882		
Microfilm cat.	11,736					1,173	1,173	1,881	1,881	1,881	1,881	1,882	
Photocopy	1,178						393	393	392				
Photocopy cat.	1,178										393	393	392
Withdraw (bib)	14,943		623	1,432	1,432	1,432	1,432	1,432	1,432	1,432	1,432	1,432	1,432
Withdraw (item)	10,902							1,817	1,817	1,817	1,817	1,817	1,817
Rebind	4,409		400	400	401	401	401	401	401	401	401	401	401
Box	534		48	48	48	48	48	49	49	49	49	49	49
Repair	6,854		623	623	623	623	623	623	623	623	623	623	624

TABLE 7

PRESERVATION FUNCTIONS—STAFF HOURS YEAR 1

Function	Librarian	SCAT 9	SCAT 8	BA V	BA IV	CA III	CA II
Inventory							
CCMSU			220.1				5503.0
Bibliographer review	1038.5						
Searching							
CCMSU			179.8		3798.6		
Replacement ordering							
CCMSU			5.4		198.1		
Bib	21.4						
O/TCat		21.4		214.5			
Desiderata processing							
CCMSU			1.2		46.1		
Bib	28.3						
O/TCat		2.5		23.7			
Acq		29.9			14.9		
Replacement receipt							
Acq		22.95			221.00		
O/TCat		19.56		259.6			
Replacement cataloging							
CnCopy	22.1			273.8			
MatPro			2.3			31.5	
CCMSU			3.5			86.5	
Filming							
Pro	0.0				473.9		
Photocopying							
Pro	0.0				0.0	0.0	
Catalog film							
OMC	0.0			0.0			
CatMat	0.0				0.0		
CCMSU			0.0			0.0	
Catalog photocopy							
OMC	0.0			0.0			
CatMat	0.0				0.0		
MatPro			0.0			0.0	
Withdrawal bibl.							
CatMat	34.9				958.9		
CCMSU			34.9			811.4	
Withdrawal, item							
SMRec					0.0		
Rebinding							
MatPro			10.0			110.1	
CCMSU						16.0	
Boxing							
MatPro			0.7			7.2	
CCMSU						1.9	
Repair							
MatPro			9.3			93.5	
Cons	77.9				823.0		
CCMSU						93.5	
Totals							
CCMSU		0.0	444.9	0.0	4042.8	711.4	5503.0
Bib	1110.2						
O/TCat	0.0	43.5	0.0	596.5	0.0	0.0	0.0
ACQ	0.0	52.7	0.0	0.0	236.6	0.0	0.0
CnCat	22.1	0.0	0.0	273.8	0.0	0.0	0.0
MatPro	0.0	0.0	22.4	0.0	0.0	242.2	0.0
PRO	0.0	0.0	0.0	0.0	473.9	0.0	0.0
OMC	0.0	0.0	0.0	0.0	0.0	0.0	0.0
CatMat	34.9	0.0	0.0	0.0	958.9	0.0	0.0
SMRec	0.0	0.0	0.0	0.0	0.0	0.0	0.0
Cons	77.9	0.0	0.0	0.0	823.0	0.0	0.0
Total Staff Hrs.	1245.0	96.2	467.3	870.3	6235.4	953.5	5503.0

TABLE 7 (cont.)

PRESERVATION FUNCTIONS—STAFF HOURS YEAR 2

Function	Librarian	SCAT 9	SCAT 8	BA V	BA IV	CA III	CA II
Inventory							
CCMSU			38.0				971.1
Bibliographer review	818.3						
Searching							
CCMSU			101.1		2136.7		
Replacement ordering							
CCMSU			6.3		838.7		
Bib	25.8						
O/TCat		25.8		251.5			
Desiderata processing							
CCMSU			2.6		97.7		
Bib	110.9						
O/TCat		5.3		59.2			
Acq	83.4			29.6			
Replacement receipt							
Acq		58.7			870.1		
O/TCat		50.3		922.2			
Replacement cataloging							
CnCopy	158.3			1908.7			
MatPro			18.8			236.3	
CCMSU			85.1			637.0	
Filming							
Pro	170.5				2749.9		
Photocopying							
Pro	7.9				135.1	9.8	
Catalog film							
OMC	178.1		1740.8				
CatMat	40.5				485.8		
CCMSU			16.2			429.1	
Catalog photocopy							
OMC	0.0			0.0			
CatMat	0.0				0.0		
MatPro			0.0			0.0	
Withdrawal bibl.							
CatMat	87.3				1575.2		
CCMSU			87.3			840.1	
Withdrawal, item							
SMRec					181.7		
Rebinding							
MatPro			13.4			147.0	
CCMSU						21.4	
Boxing							
MatPro			1.0			9.7	
CCMSU						2.6	
Repair							
MatPro			12.5			134.6	
Cons	103.8				830.7		
CCMSU						134.6	
Totals							
CCMSU	0.0	0.0	247.5	0.0	8467.1	2054.8	971.1
Bib	854.4						
O/TCat	0.0	80.7	0.0	1223.9	0.0	0.0	0.0
ACQ	0.0	122.0	0.0	0.0	509.1	0.0	0.0
CnCat	158.3	0.0	0.0	1908.7	0.0	0.0	0.0
MatPro	0.0	0.0	43.8	0.0	0.0	507.8	0.0
PRO	178.3	0.0	0.0	0.0	2905.0	0.0	0.0
OMC	178.1	0.0	0.0	0.0	0.0	0.0	0.0
CatMat	87.8	0.0	0.0	1740.8	0.0	0.0	0.0
SMRec	0.0	0.0	0.0	0.0	2061.0	0.0	0.0
Cons	103.8	0.0	0.0	0.0	181.7	0.0	0.0
Total Staff Hrs.	1371.6	202.8	291.1	4934.3	8044.8	3578.3	971.1

TABLE 7 (cont.)

PRESERVATION FUNCTIONS—STAFF HOURS YEAR 3

Function	Librarian	SCAT 9	SCAT 8	SA V	SA IV	CA III	CA II
Inventory							
CCMSU			0.0		0.0		0.0
Bibliographer review	0.0						
Searching							
CCMSU			0.0		0.0		
Replacement ordering							
CCMSU			0.0		0.0		
Bib	0.0						
O/TCat		0.0		0.0			
Desiderata processing							
CCMSU			0.0		0.0		
Bib	0.0						
O/TCat		0.0		0.0			
Acq		0.0			0.0		
Replacement receipt							
Acq		0'			0		
O/TCat		0		0			
Replacement cataloging							
CoCopy	39.8			492.7			
MatPro			4.8			56.6	
CCMSU			6.3			159.3	
Filming							
Pro	94.1				1517.7		
Photocopying							
Pro	0.0				0.0	0.0	
Catalog film							
OMC	252.9			2471.8			
CatMat	57.5				680.8		
CCMSU			23.0			609.3	
Catalog photocopy							
OMC	5.9			229.7			
CatMat	9.8				90.3		
MatPro			3.9			39.3	
Withdrawal bibl.							
CatMat	57.3				1575.2		
CCMSU			57.3			840.1	
Withdrawal, item							
ShiRec					363.4		
Rebinding							
MatPro			13.4			147.0	
CCMSU						21.4	
Boxing							
MatPro			1.0			9.8	
CCMSU						2.6	
Repair							
MatPro			12.5			184.7	
Cons	103.9				831.0		
CCMSU						184.7	
Totals							
CCMSU	0.0	0.0	86.6	0.0	0.0	1757.4	0.0
Bib	0.0						
O/TCat	0.0	0.0	0.0	0.0	0.0	0.0	0.0
ACQ	0.0	0.0	0.0	0.0	0.0	0.0	0.0
CoCat	39.8	0.0	0.0	492.7	0.0	0.0	0.0
MatPro	0.0	0.0	34.9	0.0	0.0	377.4	0.0
PRO	94.1	0.0	0.0	0.0	1517.7	0.0	0.0
OMC	258.8	0.0	0.0	2701.5	0.0	0.0	0.0
CatMat	184.6	0.0	0.0	0.0	2353.3	0.0	0.0
ShiRec	0.0	0.0	0.0	0.0	363.4	0.0	0.0
Cons	103.9	0.0	0.0	0.0	831.0	0.0	0.0
Total Staff Hrs.	681.8	0.0	121.5	3194.2	5057.5	3134.8	0.0

the receipt and recording of a negative response, and the initiation of an out-of-print order. The assumption is that the out-of-print order is unsuccessful and that the bibliographer files these titles in a desiderata file for periodic review and monitoring of out-of-print listings.

Rebinding. The rebinding process requires: deciding on the appropriate treatment, preparing the binding slip, packing for the binder, the cost of the binding on contract, unpacking and reviewing the volumes, preparing them for the shelf and clearing the circulation record. The estimates shown in the model are based on routine rebinding at prices set for Columbia Libraries by its contract binder.

Boxing. Columbia's binder also provides preservation cases made to fit the individual volume. Therefore, as in the case of binding, the costs are based on the binder's charges.

Repair. Repair follows the process of rebinding, but the work is done in-house. The estimated cost is based on an average cost of typical minor treatments requiring minimal supplies. The average cost of repairs was determined from laboratory experience of the number and mix of types of repairs and the costs entailed by each type, i.e., supplies, level of staff, time required.

Microfilming. The process of microfilming at the Libraries follows the Research Libraries Group technical guidelines. After an initial review by the bibliographer, the title is searched for available microfilm replacement. If none is found, the title is prepared for filming. Each volume is collated for completeness (and if incomplete, an attempt is made to complete the volume) targets are prepared, records are kept, and the title is queued in RLIN. The cost of filming is based on a contract with the MidAtlantic Preservation Service (MAPS). The MAPS costs include full quality control. The Libraries' Preservation Reformatting Office will check 10% of the films to assure that the quality requirements are being met. The films are received, matched with the records, logged out, and sent for bibliographic control. The master negative is stored offsite, the printing master at MAPS. Costs for these functions are based on an average five titles per reel. The films are cataloged, shelflisted, and the film boxes labeled. Fifty percent of the items filmed will be withdrawn. The service film is stored in the departmental library in appropriate cabinets, and the circulation record for the original volume is cleared.

Photocopying. The costs are based on contracting out the preservation photocopying to a service bureau. The process includes the preparation of forms, packing and unpacking the materials, checking them on receipt, cataloging the photocopy, and processing the volume for the shelf.

Inventory. The costs of cleaning are based on contracting the process to a commercial firm. The shelfreading is to put the collection in order initially, and the inventory process includes checking the shelflist against the shelves and indicating discrepancies. Each item not found is searched again on the shelf and in relevant circulation files and sorting areas. The inventory process also involves the creation of a circulation record for each item that requires treatment as well as pulling and photocopying the shelflist card onto project forms that record the condition of the item and treatment indicated.

PRESERVATION FUNCTIONS (TABLES 2–4, APPENDIX C)

The processes outlined in table 1 comprise a series of discrete functions that can occur over a significant span of time. For example, the microfilming process includes pre-filming activities, contract filming, post-filming activities, and finally cataloging and withdrawal work that cannot occur until the very end of the process. Also, some processes include common activities. For instance, both replacements and filming include searching activity. Thus, in order to predict activity and staffing levels resulting from a preservation project it is necessary to group functions based on timing and locus of activity. For this reason the function models were developed

The function models are simply a regrouping of the tasks performed in the various preservation processes. They enable Columbia to predict staffing and costs that would be entailed at various points in a project lifespan. The model also enables the Libraries to group staffing by department. For example, both preservation microfilming and replacement processing can entail withdrawal work in Catalog Maintenance. The function model regroups all withdrawal work to predict Catalog Maintenance staffing.

Preservation Project Model (Table 5)

Next, the processes and functions must be related to the specific project. A survey of the collection was performed based on a random sample of a representative section of the target collection. Table 5 translates the results of the survey first into required processes and then into functions.

Preservation Project Milestones (Tables 6-7)

The final step is taking the data from the condition survey and designing the project. Once the levels of activity for each function are calculated, it is possible to determine how this activity will be paced over a three-year period. Project milestones were determined that would plan the work through the time of the project. In other words, if these milestones were met, the project would be completed in the amount of time specified. Many of the activities are necessarily sequential. The critical path for each activity was determined. For example, the collection must be inventoried and a number of individual items identified for treatment before searching could begin. The searching and bibliographer review must precede the filming; the filming must be completed before cataloging. From these data, staffing patterns based on the models of time and level of staff per function were determined for internal detailed project planning. At this point, it is possible to plan the budget of the project through either the number and cost of each process, or through the number of staff necessary to perform the specific number of functions.

Conclusions

These cost models and staffing plans are specific to the Columbia University Libraries, based on the Libraries' specific workflow, staffing, salaries, collection condition, and contracts and other costs. However, this approach may be used as a model for other libraries to identify the processes of preservation, the functions necessary to complete those processes, the costs of each function and process, and the budget in relation to the condition of the collection. The Columbia findings, for the most part, verified earlier cost estimates. The Libraries did find, however, that some costs were lower than expected (e.g., the total cost of microfilming a volume) and some were higher (e.g., the replacement costs). Building the costs in this way provided a reliable basis for future preservation planning efforts, for both external and internal funding.

While developing these models, activities were streamlined, inconsistencies and duplications of effort were identified and corrected, staffing was centralized where more efficient, and other efficiencies became obvious and were put into place. The modeling activity clarified the librarywide involvement in—and commitment to—preservation. This process, although time-consuming and costly in itself, provided the opportunity to review and improve practices, supplied useful cost data for management, and created valuable planning tools to support future preservation goals. The models are now used routinely in project planning and staffing allocation; they have become a basic management tool.

References

1. Paul B. Kantor, *Costs of Preservation Microfilming at Research Libraries: A Study of Four Institutions* (Washington, D.C.: Council on Library Resources, 1986).
2. Patricia A. McClung, "Costs Associated with Preservation Microfilming: Result of the RLG Study," *Library Resources & Technical Services* 30:363–74 (Oct./Dec. 1986).

Appendix A. Preservation Processes: Outline

A. Withdrawal (bibliographic record)
   1. Bibliographer review
   2. Union catalog card withdrawal
   3. RLIN withdrawal for 18%
   4. NOTIS delete for 20%
   5. Department catalog card withdrawal
   6. Clear circulation record

B. Withdrawal (physical item)
   1. Item removal

C. Replacement purchase
   1. Initial bibliographer review
   2. Bibliographic/pre-order search
   3. Order typing
   4. Bibliographer review of order for 10%
   5. Placing order
   6. Receiving and payment
   7. Precataloging processing
   8. Cataloging processing
   9. Binding for 10%
   10. Shelf processing
   11. Receipt in department library
   12. Withdrawal for 80% that are not "true" replacement

D. Replacement desiderata listing
   1. Initial bibliographer review
   2. Bibliographic/pre-order search
   3. Order typing
   4. Bibliographer review of order for 10%
   5. Placing order*
   6. Receiving negative response*
   7. O.P. request
   8. Bibliographer desiderata file

   *50% of desiderata are determined to be unavailable only after ordering

E. Rebinding
   1. Prepare binding slips
   2. Commercial bind
   3. Packing/Unpacking
   4. Shelf process
   5. Clear circulation record

F. Boxing
   1. Prepare binding slip
   2. Create box
   3. Clear circulation record

G. Repair
   1. Prepare binding slip
   2. Repair work (average)
   3. Clear circulation record

H. Microfilming
   1. Initial bibliographer review
   2. Bibliographic/availability search
   3. Preparation, incl. queue
   4. Filming
   5. Quality control 10%
   6. Post-film processing
   7. Master negative storage
   8. Printing master storage
   9. Cataloging
   10. Shelflisting/labeling
   11. Withdrawal (bibliographic) of 50%
   12. Withdrawal (item) of 50%
   13. Service copy receipt/store
   14. Clear circulation record

I. Photocopying
   1. Prepare forms
   2. Commercial photocopy
   3. Packing/unpacking
   4. Post-receipt processing
   5. Cataloging
   6. Shelflisting
   7. Shelf processing

J. Inventory
   1. Cleaning
   2. Shelfreading
   3. Inventory of shelves against files and condition check
   4. Quick search of 7% missing
   5. Form preparation of 23.5% to be treated

K. Conservation

Conservation costs are not modeled since these are largely item-specific. Conservation treatment is provided only in exceptional cases and is not typically part of routine preservation/collection maintenance processing.

Appendix B. Preservation Project Participants' Role

Acq
The Acquisitions Department of the Technical Support Division selects vendors; receives and pays for replacement orders; processes negative responses from vendors; initiates out-of-print order process.

Bib
Bibliographers are responsible for reviewing materials and making preservation decisions and communicating with faculty

as appropriate. Once the materials are in process, the decision-making work will cease except for an occasional problem.

CatMai
The Catalog Maintenance Department of the Bibliographic Control Division handles the withdrawal of bibliographic records. The department also shelflists and labels microfilm.

CCMSU
Central Collection Maintenance Searching Unit, which reports to the Access Services Department of the History and Humanities Division, performs the actual inventory process at the shelf and the follow-up on that process including searching for available replacements for those volumes that cannot be repaired, or are missing, and completing various circulation records.

Consrv
The Conservation Section of the Preservation Division provides repair treatment and boxing.

CwCopy
The Cataloging with Copy Department of the Bibliographic Control Division is responsible for replacements cataloging of paper editions.

DptLib
This represents the service unit, which maintains circulation records and shelves processed items. For the Foundations of Western Civilization Project, most of this work will be done by CCMSU staff.

MatPro
The Materials Processing Section of the Preservation Division prepares binding slips for all repairs, boxing, and rebinding; receives, shelf processes, and forwards all bound and boxed volumes.

OMC
The Original Monographs Cataloging Department of the Bibliographic Control Division provides cataloging for microfilms and preservation photocopies.

O/PCat
The Order/Precataloging Records Department of the Technical Support Division places replacement orders and provides precataloging searching upon receipt.

PRO
The Preservation Records Office of the Preservation division will be responsible for preparing all materials for microfilming and preservation photocopying. They will send and receive materials from MAPS and perform quality control.

ShiRec
The Shipping and Receiving Section of the Technical Services Support Division transports withdrawn items for appropriate disposal.

Appendix C. Activities Outline of Preservation Functions Relating to Processes*

1. Inventory (all J)
2. Review (A.1, C.1, D.1, H.1)
3. Searching (C.2, D.2, H.2)
4. Ordering (C.3-5)
5. Desiderata processing (D.3-8)
6. Receive replacement (C.6-7)
7. Replacement cataloging (C.8-11)
8. Filming (H.3-8)
9. Photocopying (i.e., *in addition* to filming)
10. Film cataloging (H.9-10, 13-14)
11. Photocopy cataloging (I.5-7)
12. Withdrawal, bib. (A.2-6, C.12, H.11)
13. Withdrawal item (B, H.12)
14. Rebinding (E)
15. Boxing (F)
16. Repair (G)

*Codes in parentheses refer to outline in Appendix A.

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STAFFING THE PRESERVATION PROGRAM

CAROLYN CLARK MORROW
Assistant National Preservation Officer
Library of Congress

At a recent meeting of the American Library Association, I found myself congratulating a preservation librarian newly appointed by an Association of Research Libraries member library. I asked her about her new job and her plans for program development. With great enthusiasm she described preservation as a rather circumscribed activity and her major role as "advice giver"—not policy maker or even implementor. In short, she described a job with no clout or staff to speak of, no budget to administer, a tenuous link to a busy library director, and no plans for formal needs assessment or methodical program growth. I asked if she thought that perhaps sometime in the future she might become responsible for library binding. "Oh no," she said, still enthusiastic, "I don't want to get involved in any nitty-gritty stuff. I want to do preservation." In response I gently suggested that she had, perhaps, missed the whole point.

William Studer, in his paper "The Role of The Library Director: Wherefore and Wherewithal,"[1] has urged library directors to consider the phased development of a comprehensive preservation program. Jan Merrill-Oldham, in "The Preservation Program Defined" [also in this volume], has outlined and described its major components. I am going to discuss the staffing of the program, and its placement within a library's organizational structure.

The success of the preservation venture, as with any venture, will be directly tied to the quality of the staff that a library is able to recruit. But who are the members of the preservation staff and what exactly do they have to know and do? What is their relationship to other staff in the library? How much authority and responsibility should reside in their positions? What kind of support will they require to do their jobs?

There is considerable consensus among research libraries that the first staff member to hire, when establishing a preservation program, is a middle-management professional specializing in preservation. This is the person who will manage and implement the broad-based operation suggested by Studer and outlined by Merrill-Oldham. Ten years ago such professionals did not exist. The role of the preservation administrator in research libraries has emerged as a logical outgrowth of our efforts to develop large scale programs that can address the needs of large library collections.

Regarding the reporting relationship, Mr. Studer has suggested that the preservation administrator report directly to the library director. This opinion has merit. Justifying a new

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[1] See William J. Studer, "The Role of the Library Director: Wherefore and Wherewithal" in this volume.

activity to an organization already stressed by many obvious needs and inadequate resources is an unpopular job. If existing resources must be spread yet thinner to prime the pump, and give the preservation program definition so that it can grow (as Studer has suggested), then the director is in the best position to nurture and mentor the program. Furthermore, preservation is a library-wide activity affecting a considerable array of public and technical services policies. For example, participation in a grant-funded cooperative preservation microfilming program will affect cataloging priorities. Members of the cataloging department are likely to feel uneasy about this, considering their existing backlogs and the low priority that microform cataloging may have been given in the past. Likewise, necessary restrictions on the use of fragile, irreplaceable research materials will require daily adjustments on the part of reference and interlibrary loan departments. In a very real sense these staff members are foot soldiers for the preservation program. They probably have not thought of themselves in this way before, focusing, as they must, on providing access to materials as quickly and fully as possible with as few restrictions as possible.

Arranging for the preservation administrator to report to the director does make sense, but there are other legitimate ways to shape the organizational structure. Delegating responsibility to an associate or assistant director who is interested in, and supports the development of, the preservation program may also be appropriate.

Mr. Studer has described preservation as, "the opposite, perhaps tarnished side of the collection development coin." My own depiction of collection development as the Pac Man devouring preservation is much less elegant. The connection, however, between the builder of the collections and the maintainer of the collections is patently obvious. Positioning preservation under an associate director for collection development makes sense for many reasons. First, collection development officers are accustomed to making difficult decisions that affect other departments, and that are unpopular. The critically important concept of a separate acquisitions budget line for preservation replacements will have to be justified and argued by the collection development officer in an undoubtedly hostile environment. Second, the policies that define the composition of the collections, and therefore dictate a library's preservation challenges and priorities, emanate from prevailing collection development goals and philosophy. Third, collection development and preservation staff will plan and coordinate the library's participation in emerging regional and national cooperative preservation efforts (most particularly, microfilming).

There are yet other options. A comprehensive preservation program will incorporate activities that have traditionally existed in both technical and public services, as well as new activities. In some ways, the preservation program dovetails well with technical services activities, which have almost invariably included bindery preparation and mending. In general, the nature of preservation work is such that it must be managed by people who understand high-volume work flow, an attribute that is highly valued in technical services. What is most important, however, is that the senior manager responsible for the program understands and supports its goals, and has a strong voice within the administrative group. Many a hopefully-conceived preservation plan has stagnated under an unsympathetic division director. If a program is to succeed, there must be administrative commitment, mentoring, and (as Studer has described it) an exercise of leadership from a position of complete understanding. If the library director is the only person who can be trusted to fill these shoes, then he or she had best do that—for a surrogate mentor must be able to articulate the director's goals for a program as well as the director can—or better. In the final analysis, the answer to the question, "Where does the preservation program fit within the organization?" may best be found by looking around to see who is best equipped to champion it. This will be particularly important depending on who is hired into the position of preservation administrator. A program headed by a wimp or a whiner is in trouble.

Regarding the level on which the preservation administrator operates within the library, it should not be determined by tallying years of professional experience. While personnel searches often target senior preservation librarians, search committees sometimes come up empty handed. In such cases the pragmatic decision to hire at a lower level is made with the hope that the administrator will advance through the ranks. Unfortunately, status is everything. It is immeasurably easier to gain knowledge than to gain status. A library's optimistic investment in an entry level preservation librarian may result in that person's leaving to become a successful senior librarian at another library. The first library's preservation program may never have gotten off the ground because it did not have the authority that it needed from the beginning. That library may find itself back at first base, the preservation program burdened with the precedent of an entry level position, and the whole library confused about what the director had envisioned for the program.

Who is the middle-management professional, specializing in preservation, who will hopefully fill the first critical position within the preservation program and be charged with helping to define it, developing specific program areas, and expending the gradually expanding resources that will be allocated for the preservation effort? What will he or she have to know and do? Merrill-Oldham has answered this in one way, by describing the components of the program. I would like to sketch a profile of the actual person. The successful preservation administrator has a broad understanding of the mission of research libraries and of the multi-dimensional aspects of library service; and a successful track record managing budgets, people, and himself or herself. In these ways he or she is like all other exemplary middle managers. The preservation administrator is also a specialist, with a thorough understanding of the physical and chemical forces that affect the longevity of library materials, and the ability to implement all of the preservation options necessary to preserve diverse collections.

Because preservation is a relatively new field, this person is also a diplomat and a realist, who is willing to do what *can* be done now and aspire to what *should* be done later. He or she is a politician, giving people what they most desire first, and the bad news later. If departmental libraries are crying for repair services for heavily-used materials, it would be foolish to expect them to set aside this priority happily, and participate instead in time-consuming selection activities as their contribution to a grant-funded microfilming project that serves the national good.

A preservation administrator must also be effective in convincing colleagues within an institution that they are part of the preservation solution, for it is very easy for staff to become polarized when they are treated as merely part of the problem. In a library that has already conducted a preservation needs assessment involving staff throughout the organization, the politics of the preservation manager's job will be much easier.

In addition to the political and managerial savvy required for success at the home institution, the preservation librarian will also need to be able to work well with colleagues in the larger library community. More than many other professionals on staff, the preservation administrator will represent an institution on the state, regional, consortial, and national scene—an inappropriate environment for one who is single-minded, or worse, naïve.

What do preservation administrators actually need to know? Do they need to know about "nitty-gritty stuff" like library binding? The answer is "absolutely yes," since binding typically represents a significant share of a library's preservation effort. Do they need to know about microfilming standards? Should they be able to recognize the attributes of high quality conservation work? Should they be able to list the requirements for a mass deacidification process? Yes, yes, and yes. But there is no mystery to preservation—only mastery.

If a job search fails to turn up a clone of the person just described, cast your eyes around

the library and charge an experienced, interested middle manager with planning the phased development of a first-rate preservation program. Arrange for training at the Columbia University School of Library Service–Conservation Education Programs, or through a substantive training program such as the one recently offered to universities in the University of California system by the preservation department at Berkeley. Following training, a preservation administrator will do what competent professionals do everywhere: seek information in the most efficient way possible by identifying appropriate resource people, and asking for information, advice, and feedback on decisions and plans.

Fortunately, the preservation administrator is not going to be the only professional in a library's preservation department. He or she will be plenty busy with committee meetings, establishing and developing working relationships with other library managers, writing reports and making budget projections, drafting grant proposals, providing outreach to smaller libraries in the region, contributing to statewide preservation planning, and participating in professional activities on the regional and national level. There will be others overseeing the daily work of the department.

These others will *not* be a large corps of student assistants, roving the stacks to identify preservation work. Rather, they will be librarians who train student assistants, supervise their work, meet with subject specialists to discuss specific titles that have become part of the brittle books work flow, conduct staff orientation meetings, plan public relations campaigns, and discuss quality control problems with the library binder, among other things. One lone preservation manager in a research library is *hardly* capable of fulfilling this array of responsibilities. It is essential to plan for the gradual addition of professional staff to the program. For most ARL libraries this will mean an assistant preservation librarian and a professional conservator. For the largest libraries it will also mean a professional to supervise the bindery preparation operation and a professional to manage the preservation replacement and reformatting program. Paraprofessionals can be highly effective, as we all know; but their presence does not ensure that an entire program will not fall apart when a preservation administrator is lost to a sister institution. More importantly, the work of preservation in large part requires professional judgment. The field is defined by a body of standards and specifications that extend beyond the limits of a particular institution. Visit your library's bindery preparation section, or even the recently renamed "conservation" section, and ask a staff member why he or she is performing a particular task in a particular way. If the answer is, "Because it has always been so," a professional is needed on the job.

Let us consider for a moment a second preservation professional that has been defined over the last ten years–the collections conservator. This person manages a high-volume, production-oriented operation, and develops strategies for conserving large collections of general research materials in their original format. He or she organizes, supervises, and costs-out multifaceted, large-scale conservation projects, and is responsible for refurbishing special collections (for example, by dusting and straightening shelves of materials; and constructing protective wrappers, jackets, boxes, and other enclosures for items that require special protection). In contrast, a rare book conservator specializes in the treatment of rare and valuable books, and the paper conservator in the treatment of such materials as manuscripts, maps, and works of art on paper. Both are competent to work on rare materials only after years of training under a master conservator, learning not only technique, but also about the historical aspects of books and papers. Days–sometimes months–are dedicated to the treatment of very valuable items. The difference between the two is that the collections conservator is first a manager; the rare book conservator is first a skilled practitioner. To draw an analogy, the collections conservator is the family physician; the rare book conservator, the neurosurgeon. Both professionals are invaluable and

complementary.

Just as there is medical school before there is specialization, both the rare book conservator and the collections conservator must have a thorough grounding in the principles of conservation. Both may have attended library school, graduated from an academic conservation training program, and served an apprenticeship under an experienced conservator. More pertinent than training, however, a conservator's orientation influences the type of work that he or she chooses to do. If his or her fondest desire is to research and conserve bound volumes of rare botanical drawings, working in a laboratory on intricate solutions to complex structural and chemical problems, he or she simply will not be happy training and supervising a corps of student assistants who construct hundreds of protective enclosures for 19th century volumes in the general collections. But more than the conservator's personal satisfaction is at stake here. A rare book conservator may not, in fact, be what a large research library most needs, if only one conservation professional is to be hired. He or she may not have the skills or inclination to develop the high-volume, routine conservation services that are so badly needed by every ARL library. It is essential to assess the background, interests, and expectations of the conservator before hiring him or her to manage collections conservation.

This does not mean that libraries do not need the services of rare book and paper conservators. In fact, the largest libraries (especially those with large collections of rare and unique materials) will require more than one. At the Library of Congress, 21 professional conservators work exclusively on special collections. These individuals specialize in various aspects of conservation work such as treatment of manuscripts and works of art, and the systematic rehousing of materials in large special collections. Some individuals also supervise staff, estimate annual production levels, and work with other managers to integrate policy with procedures and priorities.

The collections conservator is the colleague of the preservation administrator and may eventually become one, if his or her career aspirations tend towards administration. He or she is a member of the conservation profession as well as the library profession and should attend meetings of the American Institute for Conservation and participate in the Book and Paper Section of that group. The collections conservator must work closely with other preservation staff to establish and integrate procedures within all operations of the preservation program, and within all units of the library as appropriate. The research library conservator of the 1990s bears little resemblance to the old guy or gal who has been mending the library's books in the basement for twenty years (with mixed results) in a time-honored personal tradition. In fact, the untrained book mender is a well-meaning threat to the integrity of our collections.

Depending on the size of a library and the composition of its collections, a conservation facility in a research library will cost approximately $80,000 to $200,000 to outfit, and occupy 1200 to 2500 square feet of space. When one walks into a conservation work area a sense of order and work flow should be immediately apparent. Last year I had the pleasure of visiting such a place: the new Book Preservation Center established at the State University of New York at Buffalo, in part with funds available to research libraries in New York through the State's legislated preservation program. Like the conservator, the conservation facility of the 1990s does not resemble the mendery of the 1960s (even the paper cutters are different), and a library may have to start from scratch to do the job right. The benefits to the collections, however, will be enormous.

Appendix C

Staffing Preservation-Related Activities in Libraries: A Checklist

This list includes the range of preservation activities found in libraries. For each activity that your institution has implemented or plans to implement, fill in the FTE required. Then, fill in the current staff names for functions already carried out; and potential in-house staff names for those that may change or be shifted; then check "new hire" for those activities that you plan to implement but for which specialized skills will be required (e.g. book conservator).

Activity	FTE Required	Current Staff	Potential Staff	New Hire
Stack maintenance				
Collection Maintenance				
In-house binding and/or repair				
Conservation lab				
Exhibition prep				
Binding prep (contract)				
Archival photocopying				
Microfilming (in-house)				
Microfilming (contract)				
Other reformatting				
Management Functions				
Preservation policy				
Planning				
Staff/user education				

Appendix C (Cont'd.)

Activity	FTE Required	Current Staff	Potential Staff	New Hire
Management Functions (cont.)				
Budgeting				
Grant-writing				
Contract negotiations (binding, filming)				
Disaster training, planning, recovery				
Evaluation of preser/conservation procedures				
Security				
Cooperative program planning				
Involvement in professional organizations				
Research				

PRESERVATION LIBRARIANS

1990-91 *ARL Preservation Statistics*

Institution	Title	% Time Spent on Preservation	Supervisor Title
Alabama	Assistant Dean, Preservation & Special Collections	10	Dean of Libraries
Alberta	Collections and Preservation Librarian	20	Associate Librarian for Access
Arizona	Head, Bindery & Preservation	45	Assistant University Librarian, Technical Services
Arizona State	Head, Preservation Department	100	Dean of University Libraries
Brigham Young	Preservation Librarian	100	Assistant University Librarian, Technical Services
British Columbia	Facilities & Preservation Manager	20	University Librarian
Brown	Acting Preservation Librarian	100	University Librarian
Calif/Berkeley	Head, Conservation Department	100	Associate University Librarian/Technical Services
Calif/Davis	Preservation Administrator	100	University Librarian
Calif/Irvine	Preservation Librarian	50	Assistant University Librarian, Technical Services
Calif/Los Angeles	Preservation Officer	100	Associate University Librarian, Coll. Development
Calif/Riverside	Preservation Officer	50	University Librarian
Calif/San Diego	Preservation Librarian	50	Associate University Librarian, Collections
Calif/Santa Barbara	Assistant University Librarian, Administration	10	Assistant University Librarian, Coll. Development
Case Western	Technician, Preservation Department	100	Assistant Director, Technical Services
Ctr. for Rsrch Libs	Director, Technical Services	25	President
Chicago	Preservation Librarian	100	Deputy Director
Cincinnati	Head, Collection Management Department	50	Head, Collection Management & Process Division
Colorado State	Assistant Director, Technical Services	5	Associate Director
Columbia	Assistant Director, Preservation	100	Director, Technical & Networked Services
Connecticut	Head, Preservation Department	100	Associate Director, Technical Services
Cornell	Conservation Liaison	100	Director, Preservation Department
Delaware	Assistant Director, Collection Management	100	Director of Libraries
Duke	Preservation Officer	100	Associate University Librarian, Coll. Management
Emory	Preservation Officer	100	Vice Provost & Director of Libraries
Florida	Head, Preservation Office	100	Assistant Director, Technical Services
Florida State	Assistant Director, Administrative Services	10	Director of Libraries
Harvard	Preservation Librarian	100	Director, University Library
Hawaii	Head, Preservation Department	100	Associate Librarian for Automation
Illinois/U-C	Assistant Director for Preservation & Special Collections	100	Assistant Director, Spec. Collections & Preservation
Indiana	Head, Preservation Department	100	Associate Dean, Technical Services & Collections
Iowa	Head, Preservation Department	100	Director, Coll. Management & Development
Iowa State	Head, Preservation & Conservation Department	100	Assistant Director, Collections
Johns Hopkins	Head, Preservation	100	Associate Director, Technical Services
Kentucky	Head, Preservation Department	100	Associate Director, Public Services & Systems
Laval	Head, Binding	100	Head, Technical Services
Library of Congress	Staff Assistant, Preservation Office	100	Associate Librarian, Collection Services
Linda Hall	Librarian, History of Science	90	Serials Librarian
Louisiana State	Assistant Dean, Special Collections	100	Assistant Dean of Libraries, Special Collections
McGill	Preservation & Collections Librarian	50	Associate Director, Public Services
McMaster	Library Preservation Specialist	100	Director, Archives & Research
Manitoba	Coordinator, Preservation	100	Associate Director, Collections

Maryland	Head, Preservation Department	50	Associate Director, Technical Services
MIT	Head, Preservation & Collection Management Services	50	Associate Director, Collection Services
Miami	Assistant Director, Library Collections	10	Director of Libraries
Michigan	Head, Preservation Division	100	Assistant Director, Technical Services & Systems
Minnesota	Library Facilities Planning Officer	50	Assistant University Librarian, Coll. Dev. & Pres.
Missouri	Head, Tech. Services	10	Director of Libraries
Nat. Agriculture Lib.	Preservation Officer	100	Head, Reference & User Services
Nat. Lib. Canada	Preservation Coordinator	100	National Librarian
Nat. Lib. Medicine	Head, Preservation Section	100	Chief, Public Services Division
Nebraska	Chair, Serials Department	33	Associate Dean, Collection Services
New York Public	Preservation Librarian	100	Associate Director, Prep. Services
New York State	Associate Librarian, Preservation & Conservation	100	Principal Librarian, Collection Services
New York Univ.	Head, Preservation Department	100	Director, Collection Management
North Carolina	Associate Librarian, Special Collections	15	University Librarian
Northwestern	Head, Preservation Department	100	Assistant University Librarian, Coll. Management
Notre Dame	Head, Preservation & Special Collections	60	Deputy Director of Libraries
Ohio State	Preservation Officer	100	Director of Libraries
Oklahoma State	Head, Special Collections & Archives	10	Dean of Libraries
Penn State	Preservation/Serials Librarian	50	Chief, Acquisitions Department
Pittsburgh	Head, Preservation Department	100	Assistant Director, Technical Services
Princeton	Preservation Librarian	100	University Librarian
Purdue	Associate Dean, Public Services	10	University Librarian
Queen's Univ.	Head, Special Collections	25	Associate Chief Librarian
Rochester	Head, Preservation Department	100	Assistant Director, Technical Services
Rutgers	Deputy University Librarian	50	Associate University Librarian, Coll. Management
Saskatchewan	Assistant Director	33	Associate Librarian
Smithsonian	Head, Preservation Department	100	Assistant Director, Coll. Management
S. California	Preservation Librarian	100	Assistant, University Librarian, Coll. Development
S. Illinois	Preservation Section Supervisor	100	Head, Special Collections & Coll. Management
Stanford	Chief, Preservation Department	100	Director, Technical Services
SUNY Albany	Preservation Librarian	100	Head, Department of Special Collections
SUNY Buffalo	Preservation Officer	100	Associate Vice President, University Library
SUNY Stony Brook	Head, Preservation(acting)	80	Assistant Director, Collection Management &
Syracuse	Preservation Administration	100	University Librarian
Tennessee	Associate Dean of Libraries	85	Dean of Libraries
Texas	Preservation Officer	100	Deputy Assistant Director, Coll. Development
Texas A&M	Preservation Coordinator	25	Head, Resource Development Division
Toronto	Head, Preservation Services	100	Associate Librarian, Coll. Development &
Utah	Preservation Librarian	100	Acquisition Librarian
Vanderbilt	Preservation Librarian	100	Associate Director, Resources Services
VPI	Head of Acquisitions	100	Director of Libraries
Virginia	Preservation Librarian	100	Director, Collection Development
Washington	Head, Special Collections & Preservation	20	Associate Director of Libraries
Washington State	Head, Archives & Special Collections	10	Director of Libraries
Washington St. L.	Preservation Administrator	100	Head, Collection Development
Waterloo	Collections Coordinator	10	Associate Librarian, Collections
Wisconsin	Associate Director, Coll. Dev. & Preservation	30	Dean of Libraries
Yale	Preservation Librarian	100	Associate University Librarian, Head Tech.

ARL PRESERVATION STATISTICS

1990-91

A Compilation of Statistics

from the Members of the

Association of Research Libraries

Compiled by

Jutta Reed-Scott

and

Nicola Daval

ASSOCIATION OF RESEARCH LIBRARIES
WASHINGTON, D.C.

1992

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Part II: Analysis of Core Data for All Reporting Libraries

1. Organizational Structure

a. Preservation Administration

The most significant means for measuring the progress of ARL libraries in increasing their preservation efforts is to track the establishment of preservation programs managed by a preservation administrator. The data offer persuasive evidence that preservation programs are becoming a standard unit in research libraries. As displayed in the data tables, 90 institutions indicated that the library has appointed a preservation administrator, and of those, 55 libraries reported that the preservation program is managed by a full-time preservation administrator. Responses are summarized below.

Table 1. Administration of Preservation Programs

Full-time preservation administrator	55 (47%)
Part-time preservation administrator who devotes 50% or more time to preservation activities, but not 100%	14 (12%)
Part-time preservation administrator who devotes less than 50% of time to preservation activities	21 (18%)
No preservation administrator	27 (23%)

b. Reporting Relationships

While the creation of separate preservation units in ARL libraries is becoming quite common, their placement is far from uniform. The 90 responses to the question on reporting relationship show two predominant organizational patterns: the preservation administrator reports to the library director or to the assistant/associate director for collection development. The third most-cited reporting relationship is to the assistant/associate director for technical services. The remaining libraries chose a variety of organizational options placing the preservation administrator within special collections, public services, or administrative services. Although the placement of preservation departments within the library structure varies, with few exceptions, the preservation administrator reports to senior library management.

Table 2. Position to Which Preservation Administrator Reports

Director of Libraries/Associate Director	26.5 (29.4%)
Assistant/Associate Director for Collection Management	26 (29%)
Assistant/Associate Director for Technical Services	17.5 (19.4%)
Assistant/Associate Director for Public Services	3 (3.3%)
Other	17 (18.9%)

2. Personnel

The size of the staff reporting to the preservation administrator is a key factor in defining a library's level of preservation program development. The table below displays the correlation between number of professional staff FTE and the number of nonprofessional staff FTE and student assistant FTE in preservation units. The median figures for staff size are used as indicators of the midpoint in the distribution at which values cluster. The preservation administrator is included in the number of professional staff. (Total of 90 programs reported).

Table 3. Staffing Patterns of Preservation Programs

Number of Professionals	Median of Nonprofessionals	Median of Student Assistants	Median of Total FTE
4 or more (15%)	15.48	3.9	26.01
2 - 3.9 (19%)	3	1.8	8
1 - 1.9 (35%)	3	1	6.7
less than 1 (31%)	.26	0	.88

Reporting accurate statistics regarding the number of FTE staff engaged in preservation activities library-wide remains problematic. The variety and complexity of organizational structures make collecting the data a time-consuming and difficult burden for libraries. Even in libraries with large-scale preservation departments the data show that preservation cannot be completely assigned to that single organizational unit. Instead it is evident that there are preservation aspects in the work of almost every library unit and that preservation is a library-wide responsibility. The more decentralized preservation activities are and the more scattered staffs involved in preservation activities are, the more difficult it becomes to provide accurate data. Caution should be used in interpreting the data below, because of these problems. (Total of 117 libraries reporting data).

Table 4. Staffing Patterns of Preservation Activities Library-Wide

Number of Professionals	Median of Nonprofessionals	Median of Student Assistants	Median of of Total FTE
4 or more (19%)	14.9	6.15	25.69
2 - 3.9 (17%)	7.3	4.05	14.65
1 - 1.9 (27%)	5.49	1.75	9.43
less than 1 (37%)	4	1.7	6.45

3. Expenditures

The financial support for preservation activities in ARL university libraries shows a substantial range from less than $100,000 to more than $3 million during fiscal year 1990-91. As a corollary, ARL university libraries spent from 1.3% to as much as 9.3% of total operating budgets for preservation.

Table 5 summarizes preservation expenditures by displaying the midpoint for three ranges for all reporting ARL libraries. It also indicates corresponding median preservation expenditures as a percentage of total operating expenditures and as a percentage of materials expenditures.

The pie chart on page 26 highlights the allocation of preservation expenditures. Local needs and capabilities will determine the exact allocation of budgetary resources to various activities, but it is useful to look at the aggregate apportionment for ARL member libraries. As in past years, the largest category is salaries and wages, followed by binding expenditures. The chart displays the allocation of preservation expenditures based on data from all reporting ARL libraries.

Part III: Analysis of Core Data by Size of Collection

This section analyzes the organizational, fiscal, and functional components of preservation programs in relation to collection size. While many other factors, including the age, nature and scope of the collection, the environmental conditions under which the collections have been housed, and the level of use shape the ways a library's preservation program develops, size of collection is the most significant factor in measuring the level of preservation effort.

In 1991 ARL published preservation program benchmarks for selected core activities in the *Preservation Program Models* report.[2] The benchmarks were intended to serve as indicators of the level of effort that can be expected as a library's preservation program develops. The benchmarks reflect targets and are a useful tool for measuring progress toward meeting preservation needs. The tables in this section parallel the four size groupings of ARL libraries used in the *Preservation Program Models* report.[3] These are collections of more than 5 million volumes, 3 to 5 million volumes, 2 to 3 million volumes, and less than 2 million volumes. For each size grouping, the tables provide medians for personnel, budget, and production. In this report, median figures are used as indicators of the midpoint in the distribution at which values cluster. The medians offer a composite measure for assessing the scale of local effort based on four different size groupings. The benchmarks reflected an ideal progression of preservation program development. They provide a useful tool for comparing the level of preservation services needed with the current level of activities. Libraries interested in that comparison may wish to consult the *Preservation Program Models* report.

The size groupings and number of libraries in each category are:

Group 1:	over 5 million volumes (18 libraries)
Group 2:	3 to 5 million volumes (16 libraries)
Group 3:	2 to 3 million volumes (41 libraries)
Group 4:	under 2 million volumes (42 libraries)

The tables on pages 30 and 31 summarize the responses for the four size groupings in five categories.

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[2]Jan Merrill-Oldham, Carolyn Clark Morrow, and Mark Roosa, *Preservation Program Models: A Study Project and Report* (Washington, D.C.: Association of Research Libraries, 1991).

[3]The libraries in each group are determined by data submitted to the 1990-91 *ARL Statistics* (Washington, D.C.: Association of Research Libraries, 1992).

Table 7. Staffing Patterns of Preservation Programs

	Median of Professionals	Median of Nonprof.	Median of Student FTE	Median of Total FTE
Group 1	4.25	13.95	3	20.75
Group 2*	.88	1	.38	2.25
Group 3**	1	2.9	1	6.5
Group 4***	.25	.8	0	1.88

* 3 libraries in this group report no Preservation Program
** 14 libraries in this group report no Preservation Program
*** 13 libraries in this group report no Preservation Program

Table 8. Staffing Patterns of Preservation Activities Library-wide

	Median of Professionals	Median of Nonprof.	Median of Student FTE	Median of Total FTE
Group 1	6.3	17.73	4.15	30.25
Group 2	1.94	9.03	3.70	16.3
Group 3	1.25	5.5	2.3	10.5
Group 4	.64	4.25	1	6.83

Table 9. Preservation Expenditures

	Median of Total Preservation Expenditures	Median of Pres. Exp. as % of Total Library Exp.	Median of Pres. Exp. as % of Materials Expendit.
Group 1	$1,164,114	4.1%	15.65%
Group 2	$652,250	4.1%	11.3%
Group 3	$391,881	3.0%	9.7%
Group 4	$261,866	2.85%	7.85%

Dartmouth College Library HANOVER · NEW HAMPSHIRE · 03755

Preservation Committee Charge

Reporting to the Librarian of the College, the Preservation Committee will administer the preservation program of the Dartmouth College Library. Members of the comittee are appointed by the Librarian of the College.

Responsibilities of the committee:

1. Develop and implement an overall preservation policy and coordinate preservation activities for the Library.
2. Record preservation budget and statistical data in conformance with ARL requirements.
3. Act as a resource for library staff seeking information on funds for preservation-related projects.
4. Promote preservation training and awareness for both staff and users.
5. Coordinate activities of the Collections Conservation Roundtable.
6. Report annually to the Librarian.

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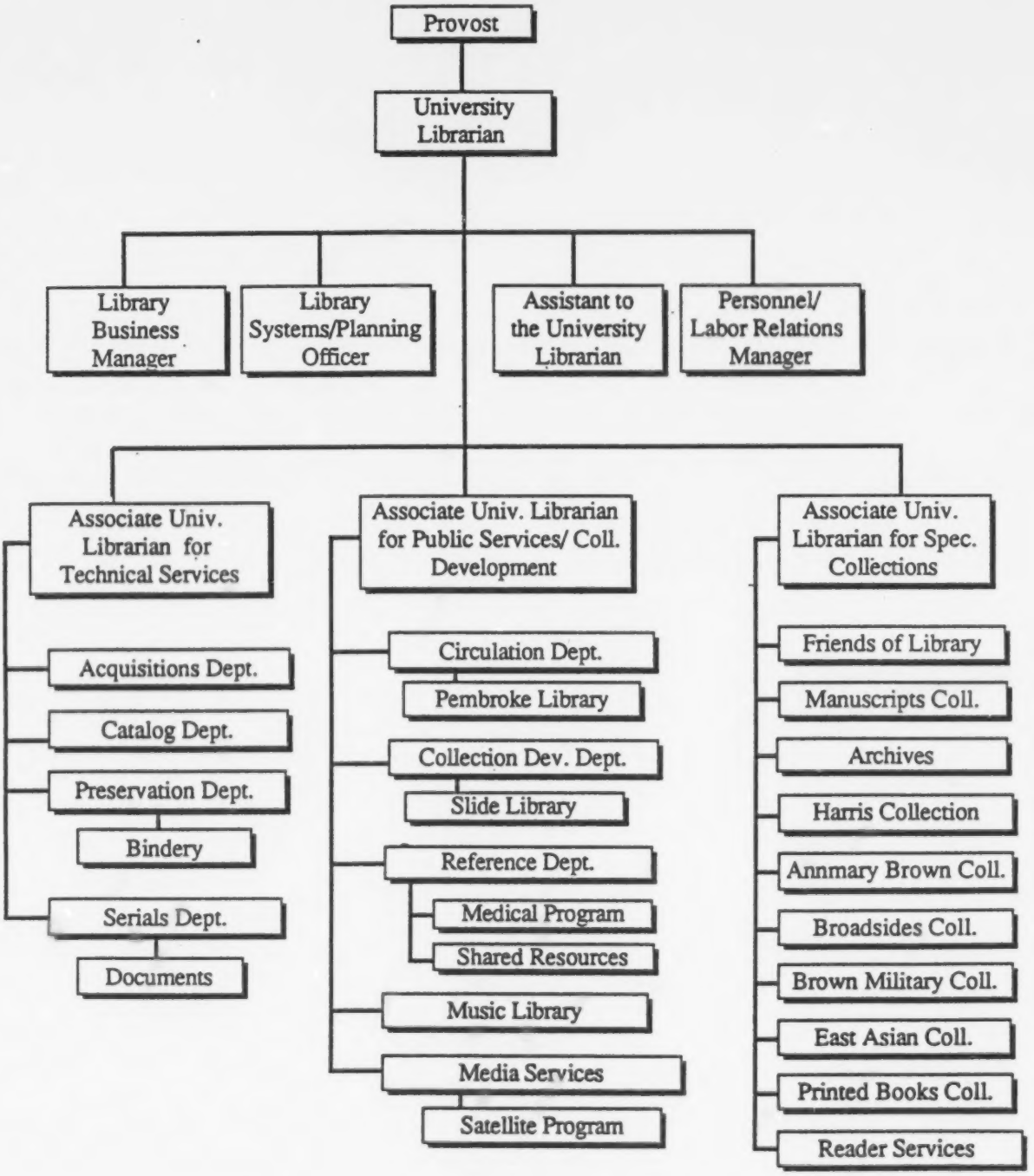
PRESERVATION COMMITTEE CHARGE

The Preservation Committee will undertake a detailed and comprehensive investigation of all Academic Affairs Library preservation needs and prepare a formal plan to meet those needs. The principal goal of the planning process is to devise a system that can fulfill basic preservation functions now and that, as resources become available, can be expanded to become a comprehensive research library preservation program. The plan will address the following areas: disaster preparedness and response; environmental conditions; physical condition of the collections; patron and staff education; conservation issues for general and special collections; preservation microfilming to meet local, regional, and national needs; and administrative structure, staffing, and funding or cost. The Committee will carry out the preservation planning process dealing with each of these issues sequentially. The Committee will handle the immediate preservation needs of the Academic Affairs Library until a permanent structure is in place. The Preservation Committee will also keep informed about new developments in preservation and conservation of library materials, particularly deacidification and strengthening of paper.

Academic Affairs Library
University of North Carolina at Chapel Hill

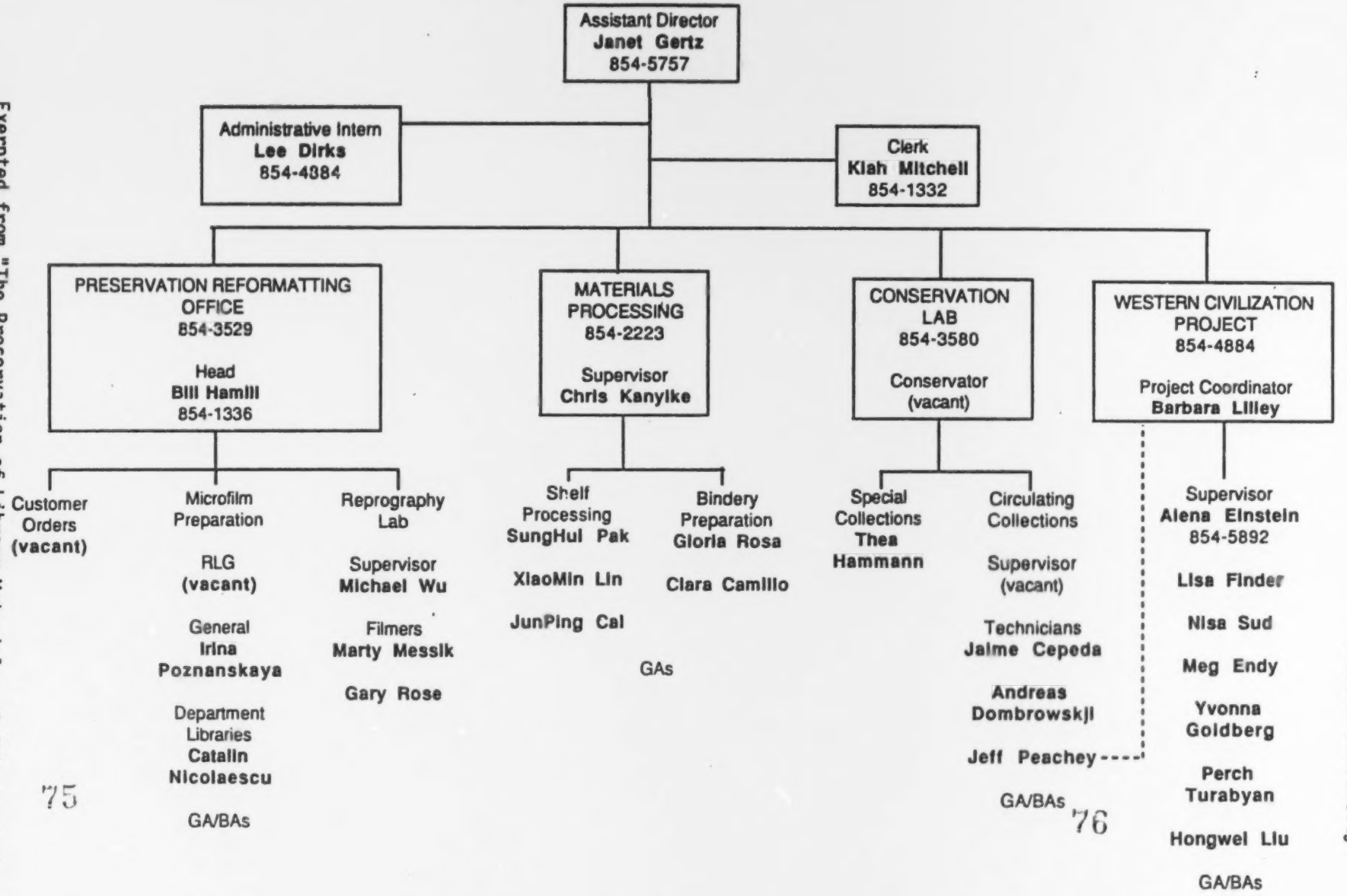
REV 7/89

Brown University Library
ORGANIZATION CHART
1992-93



PRESERVATION DIVISION

10/91



75

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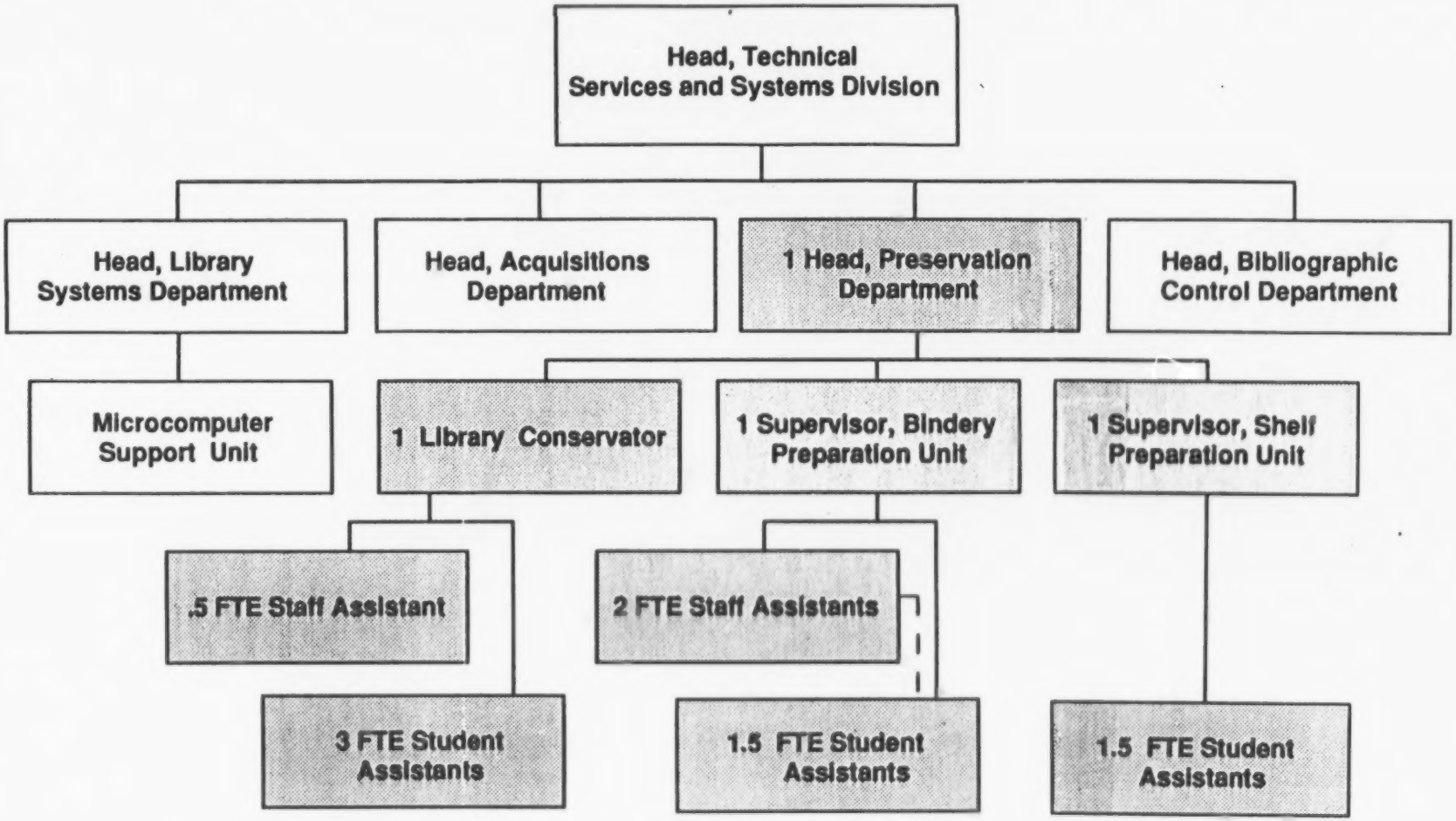
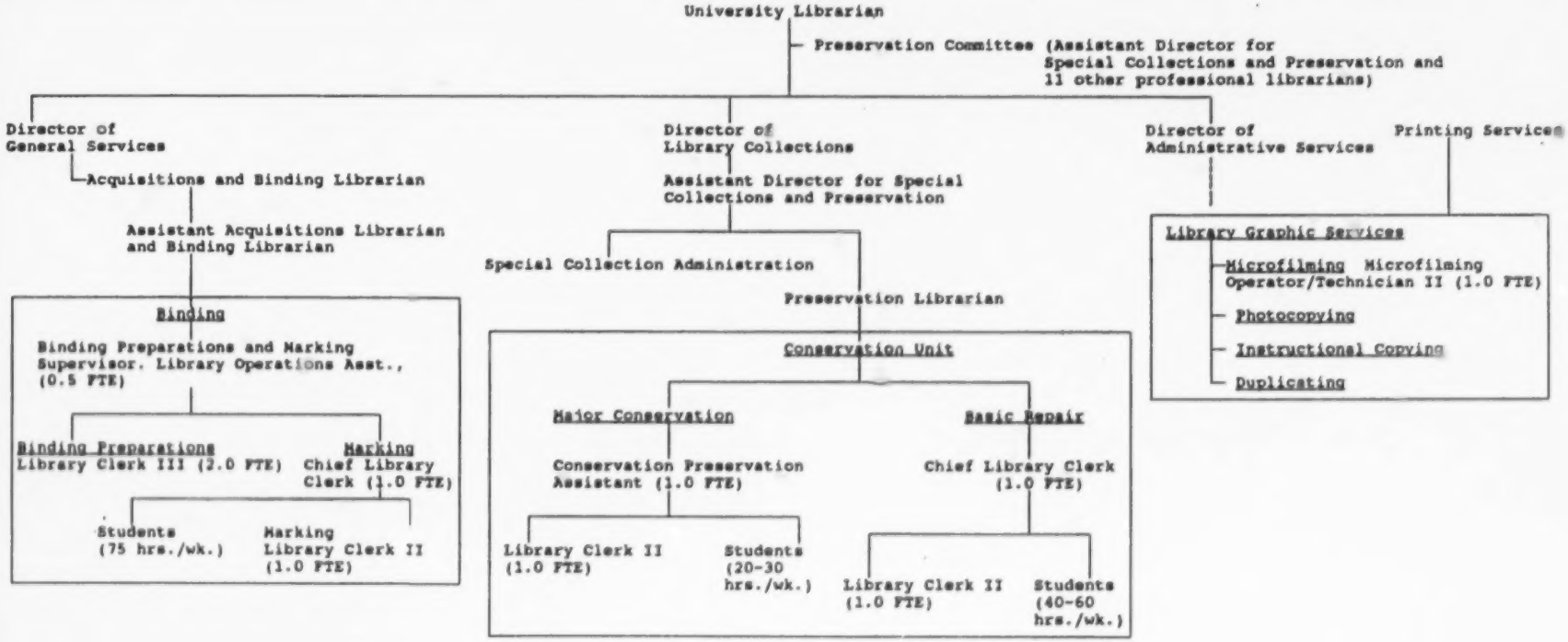
Columbia University

Exerpted from "The Preservation of Library Materials: A CUL Handbook," 5th edition, Columbia University Libraries, 1991.

UNIVERSITY OF CONNECTICUT LIBRARIES
STORRS


Head, Technical Services and Systems Division
Head, Library Systems Department
Head, Acquisitions Department
1 Head, Preservation Department
Head, Bibliographic Control Department
Microcomputer Support Unit
1 Library Conservator
1 Supervisor, Bindery Preparation Unit
1 Supervisor, Shelf Preparation Unit
.5 FTE Staff Assistant
2 FTE Staff Assistants
3 FTE Student Assistants
1.5 FTE Student Assistants
1.5 FTE Student Assistants

This organization chart includes only those centralized units directly involved in the University of Illinois Library's preservation activities. See the enclosed explanation. The non-professional positions indicated are those established by the State (Illinois) Universities Civil Service System. Only one position in Library Graphic Services is included.



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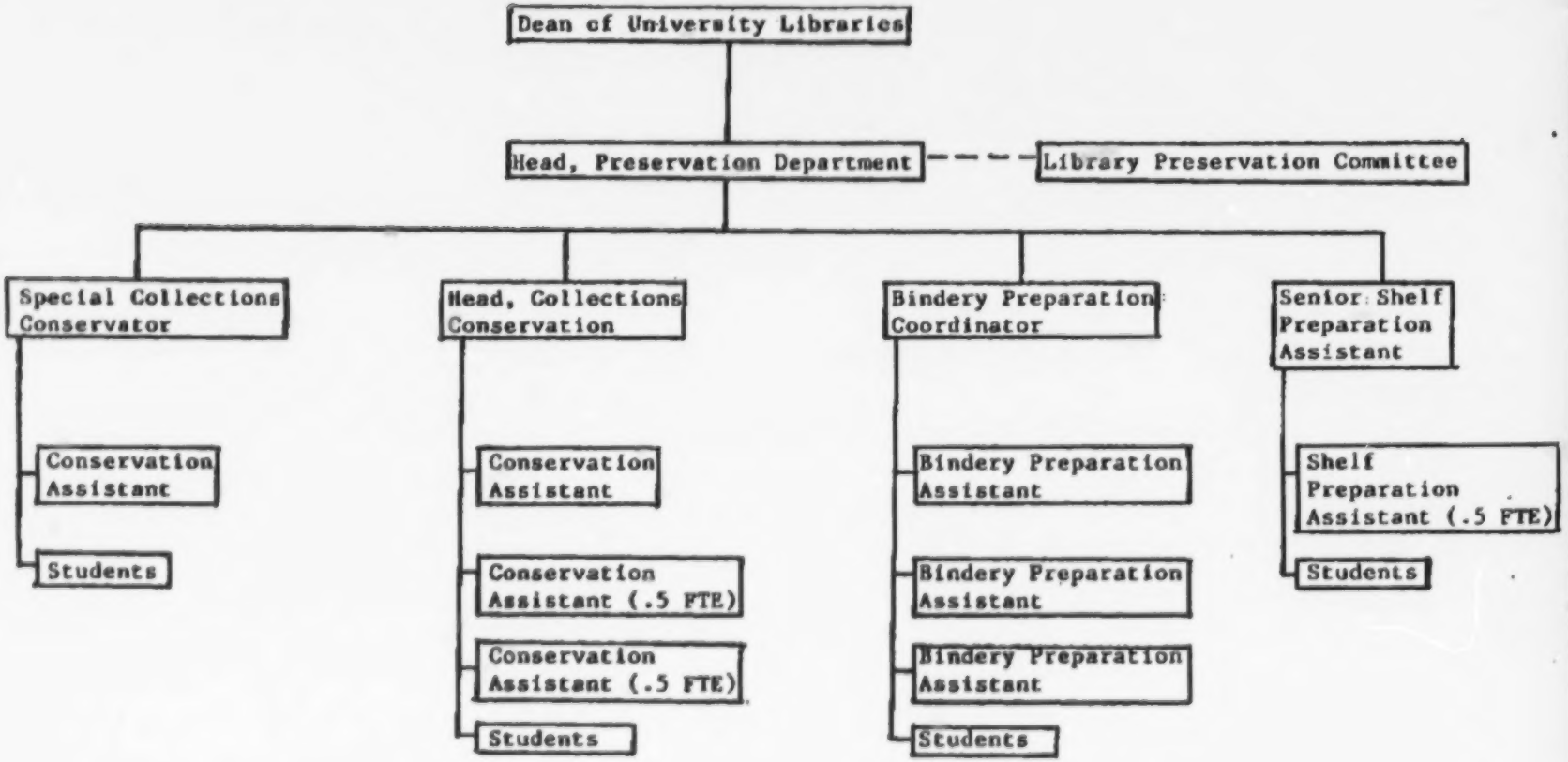
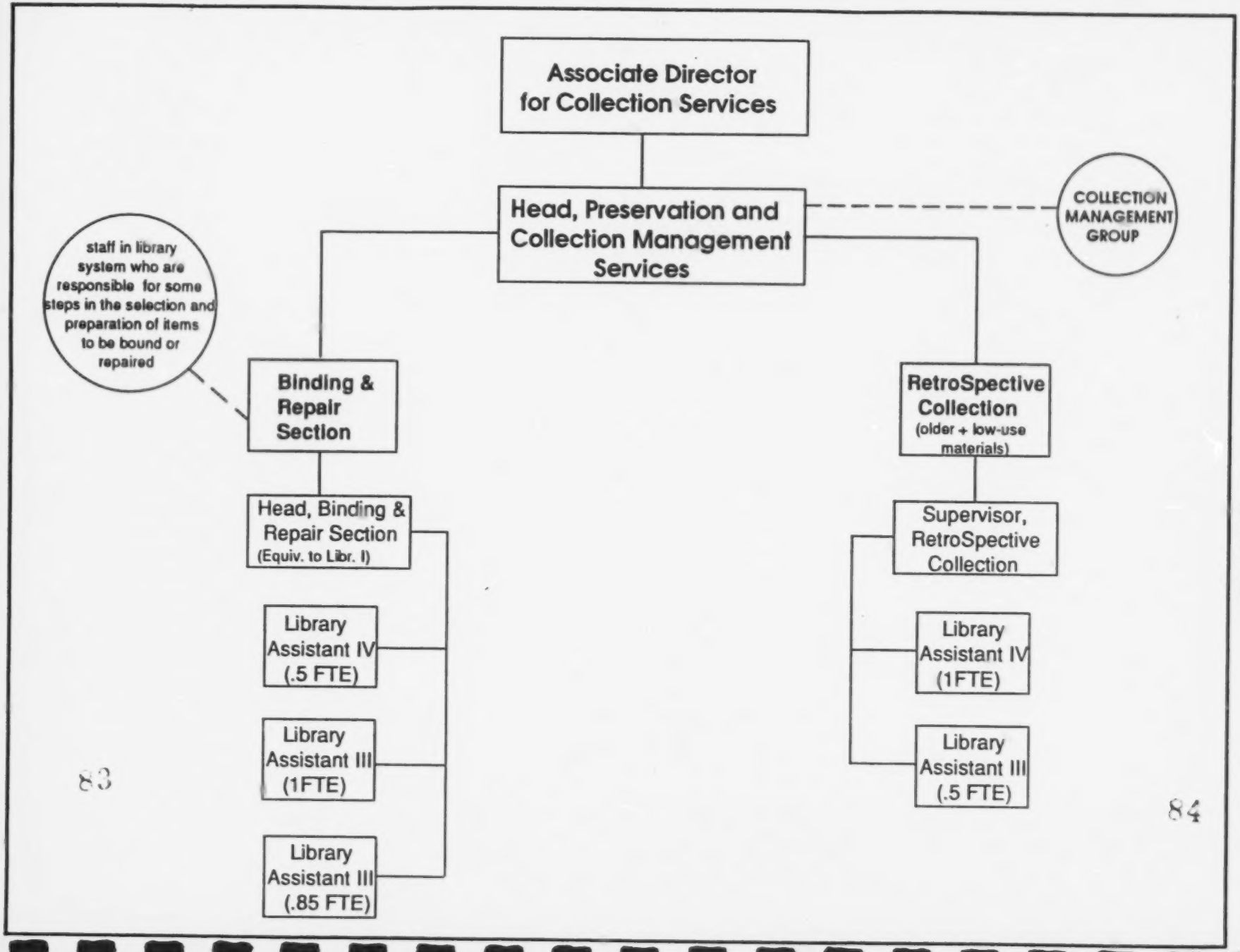
University of Illinois at Urbana-Champaign

INDIANA UNIVERSITY LIBRARIES

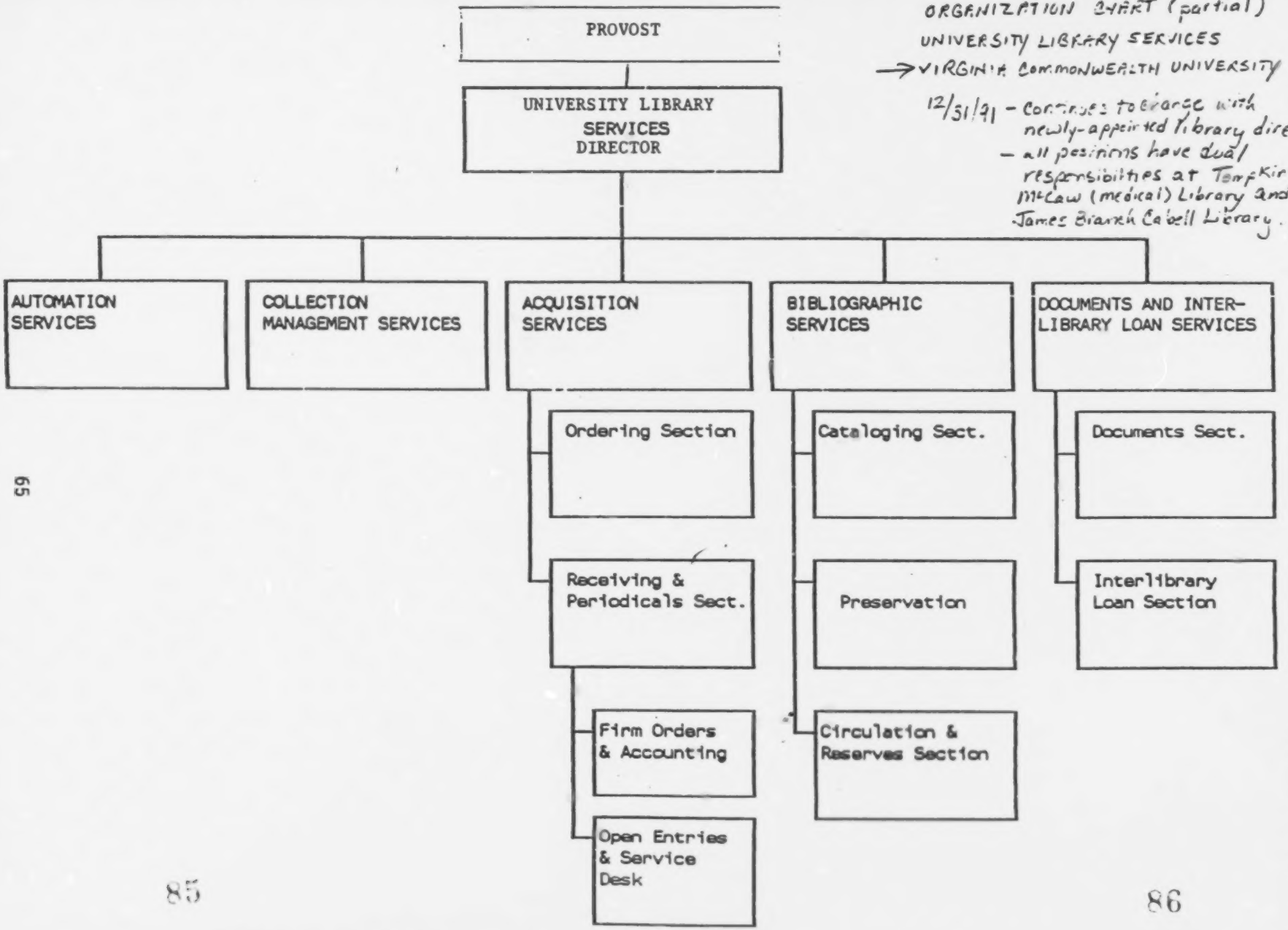



Associate Director for Collection Services
Head, Preservation and Collection Management Services
COLLECTION MANAGEMENT GROUP
staff in library system who are responsible for some steps in the selection and preparation of items to be bound or repaired
Binding & Repair Section
Head, Binding & Repair Section (Equiv. to Libr. I)
Library Assistant IV (.5 FTE)
Library Assistant III (1FTE)
Library Assistant III (.85 FTE)
RetroSpective Collection (older + low-use materials)
Supervisor, RetroSpective Collection
Library Assistant IV (1FTE)
Library Assistant III (.5 FTE)

Massachusetts Institute of Technology
Libraries

ORGANIZATION CHART (partial)
UNIVERSITY LIBRARY SERVICES
→ VIRGINIA COMMONWEALTH UNIVERSITY

12/31/91 - Continues to change with newly-appointed library director
- all positions have dual responsibilities at Tompkins-McCaw (medical) Library and James Branch Cabell Library.



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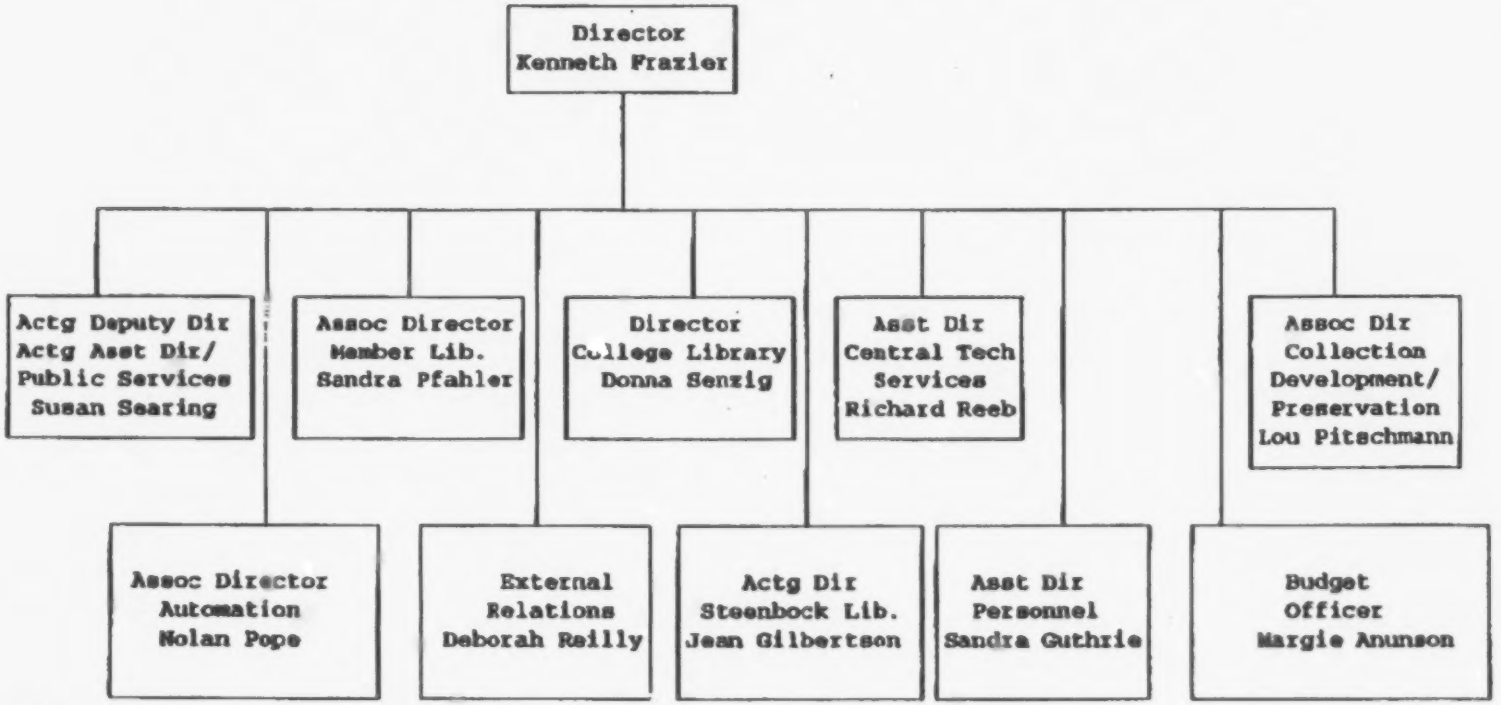
General Library System
Administration 1992-93



admin
12/2/92

University of Wisconsin

UNIVERSITY OF COLORADO AT BOULDER

NEH/ARL

PRESERVATION PLANNING PROGRAM

FINAL REPORT

August 1990

Preservation Planning Program Study Team

Nora Quinlan, Chair
Nancy Carter
Carla Gholson
Florence Jones
Susan Lowenberg
Kris McCusker
Daniel O'Mahony
Harriet Rebuldela
Cassandra Volpe
Sue Williams

with the assistance of

Jutta Reed-Scott, ARL
Connie Brooks, Stanford University

IV. RECOMMENDATIONS

A. ESTABLISH AND SUPPORT THE POSITION OF A PRESERVATION LIBRARIAN.

1. Role of the Preservation Librarian

   a. Report to the Associate Director for Technical Services.

   b. Serve as the Department Head of the Preservation/Bindery Department.

   c. Chair the Preservation Committee and work with that committee to establish a timetable for implementation of preservation goals.

   d. Work with the Associate Director for Administrative Services, all departments, and Facilities Management to improve the physical condition of the collections, the Libraries' physical plant, and environmental conditions.

   e. Work with the Associate Director for Planning and Development to prepare and submit preservation grant proposals.

   f. Recommend preservation training opportunities for library personnel to the Faculty/Staff Development Committee.

   g. Create outreach programs to inform users about preservation of library materials.

   h. Represent the Libraries in cooperative preservation programs with various organizations at local, regional, and national levels.

   i. Develop written preservation guidelines and procedures.

   j. Develop a review process for binding policies and procedures with the assistance of the Preservation Committee.

   k. Maintain documentation of central preservation policy.

   l. Work with the Associate Director for Planning and Development to coordinate the inclusion of preservation concerns in collection development policies.

   m. Recommend and administer a budget for extraordinary preservation needs.

   n. Work with the Associate Director of Administrative Services to review and monitor preservation in related security practices.

   o. Represent the Libraries on the Board of the Colorado Preservation Alliance.

2. Rationale

   This position is needed to implement and monitor an administrative mandate on preservation, serve as a source of up-to-date knowledge in the field, and enable the Libraries to continue present efforts and keep up with a wide range of approaches and technologies.

3. Reporting Line

The Associate Director for Technical Services should supervise the position.

4. Responsibility

The Dean of Libraries should establish the new position. The Associate Director for Administrative Services should form a search committee, which should include at least one member of the Preservation Planning Program Study Team. The Dean should support the position by committing fiscal year 91/92 and 92/93 funds for the purpose of carrying out new preservation plans beginning in 1992.

5. Timeline

The search committee should be formed by October 1, 1990 with the expectation of having a Preservation Librarian in place by September 1, 1991. The Associate Director for Technical Services should request the Preservation Librarian to suggest priorities and programs within six months of arrival.

6. Costs

Organizing and conducting a search. Once the position is filled, clerical support, office equipment, travel/conference fees, and physical space.

B. ESTABLISH A PRESERVATION COMMITTEE WITH SYSTEM-WIDE REPRESENTATION.

1. Role

a. Work with the Preservation Librarian, the Associate Director for Administrative Services, and Facilities Management to develop general housekeeping standards and plans to stabilize the Libraries' climate systems and improve temperature and relative humidity system-wide.

b. Assist the Preservation Librarian to review, document, and develop preservation policies and alternative preservation methods and to identify sources of special funding to support ongoing preservation activities.

c. Assist the Preservation Librarian to:

1) Develop a standard methodology and coordinate and organize future surveys of the physical condition of the Libraries' holdings.

2) Explore ways to reduce exposure of library materials to ultraviolet light.

3) Develop a list of environmental monitoring equipment for purchase by the Libraries.

4) Assist in the review of security practices and make recommendations.

5) Collect written preservation procedures from all units and branches or assist departments to develop such procedures.

6) Establish central location for preservation bibliographies, resource directories, etc.

7) Develop recommendations for an active user preservation education program.

8) Develop a library personnel preservation education and training program.

9) Serve as a resource for preservation information.

2. Rationale

The Preservation Committee is needed to support the Preservation Librarian in the preservation planning program, coordination of preservation activities, and improvement of communication channels on preservation issues.

3. Reporting Line

The Committee should report to the Associate Director for Technical Services through the Preservation Librarian.

4. Responsibility

The Associate Director for Technical Services should establish the Preservation Committee.

5. Composition

Members of the Committee should comprise a broad representation of the Libraries. The following areas should be represented: Public Services, Technical Services, branches, Access Services, Binding Unit, Special Collections, Western Historical Collections/University Archives; other areas which handle special media formats, including videos, microforms, recordings, manuscripts, etc., should also be included.

6. Timeline

The committee should be established immediately following the appointment of a Preservation Librarian.

7. Costs

Current staff time diverted from other tasks and duties, clerical support, copying costs, and supplies

C. CREATE A PRESERVATION/BINDERY DEPARTMENT MANAGED BY THE PRESERVATION LIBRARIAN.

1. Role of the Preservation/Bindery Department

   a. Contribute to the development of standards and guidelines on preservation and binding.

   b. Carry out assigned preservation operations.

   c. Train personnel in preservation activities in order to facilitate locally administered decision-making in preservation methods and procedures, repair work, and binding preparation.

   d. Create an online bindery system.

   e. Assist in developing a new bindery contract that will incorporate additional preservationally sound procedures and instructions. (The current bindery contract will expire on June 30, 1992.)

2. Rationale

   The Bindery Unit is central to almost all of the preservation activities taking place in the University Libraries, but at this time it is not organizationally recognized as such. A new department is needed to centralize and formalize authority, improve communication, and provide a center for expertise and training.

3. Reporting Line

   The existing Binding Unit should be reassigned from the Cataloging Department and established as a Preservation/Bindery Department under the supervision of the Preservation Librarian. The Head of the Binding/Preservation Department should report to the Associate Director for Technical Services. The Library Technician should report to the Preservation Librarian.

4. Responsibility

   The Dean of Libraries should authorize a new department under the Associate Director for Technical Services. The staff of the department should be responsible for carrying out these expanded duties. At this time no specific recommendation is made for any reorganization within the department, but it is assumed that, as certain activities and procedures change, such would occur. Staff will need training to assume their instructional role. An increase in staff would be necessary to carry out any new responsibilities.

5. Timeline

   The reorganization should take place when the Preservation Librarian assumes his/her position. The implementation of an automated bindery system and the implementation of a preservation training program for library staff should begin within the next year.

6. Costs

An increased binding and supply budget; current staff diverted from present assignments, or added staff time to implement increased responsibilities; an automated bindery system and the equipment and wiring to support it.

D. REVIEW BINDING AND REPAIR POLICY AND PROCEDURE AND DEVELOP POLICY FOR THE USE OF ALTERNATIVE MEANS OF PRESERVATION. DEVELOP FUNDING TO IMPLEMENT ALTERNATIVE PROGRAMS.

1. Action

Existing binding and repair policies, priorities, and methods should be reviewed. Alternative preservation technologies should be studied and adopted when suitable, and special funding that supports the implementation of alternative programs should be identified.

2. Rationale

Binding and repair presently are the primary preservation methods used in the Libraries. Current binding policy prioritizes items (other than government publications) as follows: (1) serials, (2) newly cataloged soft-bound monographs, (3) materials in need of rebinding as staff time and binding budget allow.

In November 1989, the Access Services Department and the Binding Unit conducted a simulated PERF (rebind) test to determine what the effect would be if all volumes needing repair or rebinding were sent directly to Binding Preparations and the Pamphlet Bindery as soon as they were returned by patrons. Appendix Four details the findings of this test. In summary, approximately 1,000 volumes needing rebinding and approximately 1,500 volumes needing mending are currently returned to the stacks annually.

The Physical Conditions Task Force determined that five percent of the print collection surveyed needs rebinding and six percent needs mending. The Task Force was unable to evaluate material charged out; this is a portion of the collection that would most likely need mending or rebinding. Current binding priorities, as well as insufficient staff and resources, are contributing to the deterioration of the Libraries collections.

Many areas of the Libraries collections require special attention. For example, the Dewey collection contains materials from the late nineteenth- and early twentieth-centuries that are mostly on acid-based paper. The Government Publications print collection consists of a large portion of soft-bound volumes. Other materials, such as manuscripts, maps, microforms, sound recordings, newspapers, photographs, serials, and electronic media, present special preservation considerations specific to each format. As access to these and other materials continues to become easier through inclusion in the online public catalog and other databases, increased use will impact the physical deterioration of the materials. Currently, no funding exists within the Libraries for preservation microfilming, deacidification, electronic conversion and storage, or other alternative technologies.

All the above factors underscore the necessity for increasing the Libraries' options for allocating resources for the preservation of collections. The first step is to review the existing policies and procedures regarding binding and repair of materials. Support must be provided for a careful and intensive examination of alternative technologies that will maximize both preservation of and access to the Libraries collections.

3. Responsibility

The Dean of Libraries and the Cabinet should authorize the review process and approve policy recommendations for implementation. The Preservation Librarian should coordinate the studies. The Preservation Librarian and the Preservation Committee, working with the Associate Director for Planning and Development and the bibliographers, the Associate Director for Technical Services, the Preservation/Binding Department, and representatives from Public Services and Technical Services, should review, document, and develop preservation policies including alternative methods of preservation. The Preservation Librarian and the Preservation Committee, working with the Associate Director for Planning and Development, should identify and develop sources of special funding. The Dean and the Cabinet should develop a budget to implement preservation policies, which may include the reallocation of funds.

4. Timeline

The Preservation Librarian should begin to gather information on alternative preservation methods within the next year and should continue to investigate new technologies with the Preservation Committee. The binding review process should be initiated as soon as possible after the Preservation Librarian arrives.

5. Costs

Extensive staff time for the planning stage. Funding for increased binding, repair, and alternative technologies should be determined during the planning stage and will likely be substantial.

E. PROVIDE AND DEVELOP WRITTEN PRESERVATION GUIDELINES AND PROCEDURES.

1. Action

The Preservation Librarian and the Preservation Committee should assemble and distribute a preservation handbook to all library departments. The handbook should include library policies, procedures, and guidelines, such as collection development information for bibliographers and recommended supplies for use with library materials. The handbook should also include preservation procedures prepared by specific departments for their own use.

2. Rationale

The Libraries currently lacks an organized communication structure for preservation activities. Policies, procedures, decisions, and training occur without

the cohesive direction required for a successful library-wide preservation program. At present the Libraries lack written documentation on preservation either system-wide or at the departmental level.

3. Responsibility

The Preservation Librarian and the Preservation Committee should be responsible for coordinating the development of preservation guidelines and procedures.

All library departments should contribute information. The Preservation Librarian and the Preservation Committee should review existing written policies and suggest corrections and additions if needed. They should develop new written procedures. The Preservation Librarian and the Preservation Committee should also maintain and update the handbook.

4. Timeline

The Preservation Librarian should begin gathering information for the handbook based on a schedule established by the Associate Director for Technical Services.

5. Costs

Extensive staff time to document preservation procedures and to prepare the handbook. Additional costs will include computer time, clerical support and photocopying.

F. INCREASE PRESERVATION TRAINING FOR LIBRARY PERSONNEL.

1. Action

The Libraries should increase preservation training for library personnel by:

a. Incorporating preservation concerns into new employee orientations for library faculty, staff, and student assistants. Each new employee should be required to view the Slow Fires videotape.

b. Encouraging and supporting staff at all levels to attend preservation conferences and workshops.

c. Having the Binding Unit and later the Preservation/Binding Department responsible for training library personnel in binding preparation and simple repair procedures.

d. Developing and implementing special media handling classes for appropriate personnel. These classes should be presented by staff familiar with microforms, recordings, CD-ROMs, etc.

e. Maintaining awareness of preservation information and activities through publication in the Library Administration Reports and other sources.

2. Rationale

There is a strong need to expand awareness of preservation concerns and techniques and to increase preservation knowledge in a uniform and systematic manner rather than sporadically and informally.

3. Responsibility

The Preservation Librarian and Preservation Committee should plan and implement the above activities with the Associate Director for Administrative Services, who is responsible for new employee orientations, staff development, and other personnel matters. The Preservation Librarian, the Binding Unit staff, or other personnel familiar with various media formats should provide in-house demonstrations and workshops. Outside speakers should also be invited.

The Media Library, Administrative Services Office, and supervisors should coordinate the viewing by new employees of Slow Fires or other preservation training media.

The Dean of Libraries should fund continuing education in preservation activities. This should include attendance at external conferences for all levels of permanent library personnel.

4. Timeline

Preservation training media should be included immediately in new employee orientations. A single-page information sheet on preservation, to be included in the employee information packets, should be developed within the next year. Within the next year, the Preservation Committee should begin development of a long-term plan for internal training to be further developed and carried out by the Preservation Librarian.

5. Costs

Travel expenses and registration fees for external conference attendance. Consultant fees plus travel expenses in order to bring in outside speakers.

Staff time for scheduling, preparing, presenting, and participating in workshops, etc. Supplies.

G. DEVELOP AND MAINTAIN A LIBRARY PRESERVATION AWARENESS PROGRAM FOR USERS.

1. Action

A preservation awareness program should be developed to communicate to library users the proper care and handling of library materials. Components include: instruction, exhibits, news releases, special programs, bookmarks, posters, brochures, handouts, and other outreach efforts. Suggestions are detailed in the Staff and User Education Task Force Report.

2. Rationale

Education of faculty, students, and public patrons can prolong the life of library materials. Non-Libraries tenants need to learn the consequences of their actions within the environment of the Libraries. Special groups such as alumni, fund-raisers, or legislators should also be informed of the considerable efforts we are making towards preserving our cultural investment.

3. Responsibility

The Preservation Librarian and the Preservation Committee should develop and maintain this program. They should review all preservation information before publication or presentation.

This program should enlist the ideas and talents of many people, including the Sign Committee and the Exhibits Committee. Outreach programs should involve the Preservation Librarian, Dean of Libraries, the University Public Relations Office, New Student Orientation coordinators, Friends of the University Libraries, and the Libraries Publication Committee, among others.

4. Timeline

Several projects should be implemented immediately, such as bookmarks and posters. Intermediate planning should begin within a year for more complex projects, including classroom instruction, workshops and programs for users, handouts and brochures. Exhibits should be prepared and scheduled. Long-term planning should include further expansion and development of the program.

5. Costs

Staff time, materials, equipment, and the development of staff skills for the design, preparation, and production of internally created graphics equipment and graphics software for in-house production, commercial posters, display cases, and professionally produced brochures or publications. Expense for funding for outreach and cooperative programs.

H. DEVELOP A PROGRAM TO MONITOR AND IMPROVE ENVIRONMENTAL CONDITIONS IN THE UNIVERSITY LIBRARIES.

1. Action

The Libraries should develop and implement a program for continued monitoring of environmental conditions, including temperature, relative humidity, and ultraviolet light levels. Such a program should allow for year-round measuring and should be supported by an adequate supply of in-house equipment. Data should be used to recommend possible solutions to correct the adverse conditions which exist. Resources should be allocated and procedures should be developed to implement appropriate actions. Examples of specific area improvements are included in the Environmental Conditions Task Force Report.

2. Rationale

Adverse environmental conditions hasten deterioration of materials and damage the collections. Damaging factors are primarily temperature, relative humidity, and light. Other contributing factors include dirt and dust, airborne chemical pollutants, food debris, bacteria, mold, insects and pests, and physical support structures.

The climate of the Colorado Front Range presents special environmental problems for preservation. The physical environment of the University Libraries is not conducive to the long-term preservation of library materials. Temperatures at all locations are too high, relative humidity too low, and, more importantly, humidity fluctuations are severe.

Optimal environmental conditions for print materials are: temperature at 65 degrees Fahrenheit (+/- 5 degrees F); relative humidity at 50 percent (+/- 5 percent); light sources kept to 30-50 foot-candles with a maximum of 75 u-watts/lumen.

Continuous data on the Libraries' environment are critical to any effort to improve these conditions for the preservation of library materials.

3. Responsibility

The Associate Director for Administrative Services should have responsibility for implementing the recommendations brought forth by the Preservation Committee and/or the Preservation Librarian. The Preservation Librarian should be responsible for coordinating and maintaining a continuing program of environmental monitoring and should make long-term recommendations for controlling the internal climates of buildings that house library collections. Preservation Committee members should recommend immediate, short-term actions, such as those listed in the Environmental Conditions Task Force Report, which may favorably impact the environmental conditions of specific departments, units, or branches.

4. Timeline

The Preservation Librarian should begin to develop an environmental monitoring program as priorities are established. Full implementation of the program should take place under the direction of the Preservation Librarian.

5. Costs

Purchase and maintenance of equipment and staff time to carry out measurements and analyses.

Equipment includes instruments to measure temperature, relative humidity, and visible and ultraviolet light levels. (Automatic equipment that provides accurate,

reliable, and consistent results is recommended.) Costs for individual instruments vary with sophistication of the device. At a minimum, the Libraries should purchase:

One hydrothermograph: for continuous measuring of temperature and relative humidity (approx. $ 400-600).

Two psychrometers: for measuring relative humidity (approx. $ 150 each).

One UV Light Monitor: for measuring ultraviolet light levels (approx. $ 350)

Portable thermometers and other instruments as needed. Costs associated with short-term and long-term remedies to site-specific environmental problems may be significant.

I. SURVEY ADDITIONAL COLLECTIONS.

1. Action

a. Survey condition and pH level of paper of print materials system-wide to determine the percentage of the collection that is brittle and the acidity level of the paper.

b. Survey condition of the microfilm collection.

c. Survey condition of the manuscript collections in Special Collections and Western Historical Collections/University Archives.

d. Survey overall condition of print and microform collections in the Law Library and the other areas of the Libraries not already surveyed by the Physical Conditions Task Force.

e. Share this report and its recommendations with other libraries in the CU System.

2. Rationale

The Physical Conditions Task Force surveyed print materials to determine overall condition of the collections and found that 81% of the collections are presently in good condition. However, a large portion of the Libraries collection includes print materials published since the mid-19th century; the bulk of the collection dates from the post-World War II era. These materials were produced using acid-based paper which will eventually become brittle, crumble to the touch, and therefore be unusable. Consequently, these materials are vulnerable and will require preservation attention. After the survey is conducted, the Libraries should be aware of the quantity of materials requiring deacidification processing.

The Physical Conditions Task Force surveyed microforms but sampled only four microfilms. Since the initial study showed the microfilm collection to have the greatest preservation problems as compared to other microforms, a separate study

of microfilms is warranted. After the survey is conducted, the Libraries should be aware of the condition and preservation needs of the microfilm collections.

Due to the methodology used, the Physical Conditions Task Force did not survey the Libraries manuscript collections. Given the significant size of the collections, their unique format, the quality of their paper and their storage conditions, a separate survey is recommended to determine the conditions and preservation needs of the manuscript collections.

The Physical Conditions Task Force did not survey the Law Library or those areas of the Libraries whose collections are too small given the methodology used, including Earth Science, East Asiatic, Engineering, Maps, Music, Math/Physics, Reference, Special Collections, Western Historical Collections/University Archives, and the Museum. In order to have a comprehensive picture of the condition of the paper and microform collections system-wide, surveys of the omitted areas need to be done.

3. Responsibility

Immediate and long-term decision-making responsibilities will reside with the Associate Director for Technical Services. The Preservation Librarian and the Preservation Committee will develop methodology, coordinate and organize the surveys with the departments involved, and collate the data. Due to the volume of the work entailed in conducting the surveys, many library personnel will be needed to complete the surveys, especially those familiar with the specific collections and physical conditions criteria.

4. Timeline

All surveys should be completed within a two- or three-year time frame.

5. Costs

Departmental staff time and project overview time by the Preservation Librarian and the Preservation Committee. Costs to test acidity of paper materials dependent on the number of items tested, type of test conducted, and supplies needed to test. Incidental costs for supplies and photocopying.

J. IMPROVE STORAGE AND MAINTENANCE OF THE COLLECTIONS.

1. Action

To improve storage and maintenance of the collections, the Associate Directors for Administrative Services and Public Services should:

a. Develop standards with Facilities Management for general housekeeping of library facilities, which incorporate the Libraries special preservation requirements.

b. Determine responsibility for cleaning of stack and storage areas. The department and branch libraries may need additional staff and equipment to establish and maintain a regular program of cleaning.

c. Purchase preservationally-sound shelving and storage cabinets to accommodate the space and preservation needs of the collections. Immediate needs include microform cabinets and storage for photographs in the Western Historical Collections/University Archives. Also needed are storage supplies and equipment for films, photos, maps, and manuscripts.

d. Establish a maintenance and servicing program for all microform, audiovisual, and computer equipment.

2. Rationale

Proper storage and maintenance of the collection will extend the life of library materials. Improved maintenance of equipment will help prevent wear and tear on library materials.

3. Responsibility

The Associate Director for Administrative Services is responsible for general housekeeping and general maintenance of equipment in Norlin and the branch libraries. The Preservation Librarian and the Preservation Committee, working with the Associate Director for Administrative Services, should be responsible for developing standards and programs for general housekeeping and cleaning of stack and storage areas. In addition, they should develop guidelines for the purchase of preservationally-sound equipment. Branch librarians, working with their building proctors and the Associate Director for Administrative Services, should develop ways to improve general housekeeping in their libraries. Department heads should be responsible for identifying current and future storage needs and requesting sufficient equipment. Maintenance of computer equipment in both Norlin and the branches should become the responsibility of the Systems Librarian.

4. Timeline

The Libraries should begin discussions immediately with Facilities Management to develop general housekeeping standards. The Preservation Librarian and the Associate Director for Administrative Services should begin to develop standards and guidelines for cleaning stack and storage areas as soon as possible. The Associate Director for Administrative Services should give final approval to these standards and guidelines.

The Associate Director for Administrative Services should investigate the service contracts already in place, identify equipment not covered, and determine service needs as appropriate. Computer/Telecommunication Services staff should begin basic maintenance and service on all of the Libraries microcomputers, including PAC terminals.

5. Costs

Staff time, supplies, and equipment.

K. IMPROVE LIBRARY SECURITY PRACTICES.

1. Action

Security practices and procedures at the University Libraries should be reviewed in detail and changes made if necessary. The review should cover all areas of the University Libraries, including non-library sections in Norlin.

Questions to be considered in the review should include:

a. Are security mechanisms, such as alarm doors, security gates, and tattle tapes, adequate and are they being used correctly? Would alternative systems suit the Libraries' purposes better?

b. Are security procedures adequate and are they followed conscientiously?

c. Is the staffing and training of the Library Security Office adequate?

d. Should additional areas in the Libraries be closed to the public?

2. Rationale

Security is necessary to reduce risk of the theft, mutilation, or damage of library materials and to provide early warning and legal action.

3. Responsibility

Decisions will be made by the Associate Director for Administrative Services. This review should be conducted by a group recommended by the Preservation Librarian and the Preservation Committee and should include representation from the Library Emergency Committee. This review team will report findings to the Preservation Librarian, the Head of Security, and the Associate Director for Administrative Services.

4. Timeline

This security review be conducted as soon as possible. Recommended changes should be implemented as soon as funding allows.

5. Costs

Staff time to conduct observations and interviews and to prepare the report. To implement the recommendations of the review team, extra student hours or extra staff may be required, and additional security mechanisms such as gates and alarms may be needed.

PRESERVATION PLANNING PROJECT

STUDY TEAM

FINAL REPORT

Duke University

Perkins Library

December 1989

TITLE: Preservation Officer; two year term appointment

SUMMARY: Has primary responsibility for developing, implementing and coordinating an active comprehensive program to preserve the collections and incoming materials in all formats, including books, newspapers, maps, microforms, audiovisuals, machine-readable data files, etc. The program will include preventive measures, treatment and/or reformatting of damaged or deteriorating materials, and staff and user education. The Preservation Officer is responsible for initiation of follow-up action on the reports of the Preservation Planning Project Study Team and will provide a focus for preservation decisions within the Library structure, utilizing distributed expertise of staff.

Broad management duties involve policy development and recommendation to appropriate officers of the Library and budgeting for and coordinating inter-departmental programs. Technical duties include training of staff in preservation and conservation techniques and quality control monitoring of procedures done in-house or by contractors or cooperative agencies. Time is split approximately 60% for coordination and 40% for technical responsibilities. The Preservation Officer reports to the Assistant University Librarian.

MAJOR DUTIES AND RESPONSIBILITIES:

Administer system-wide preservation program (60%):

* Implement and administer a systematic, ongoing program to determine preservation needs and options for all collections.
* Decide appropriate treatment options.
* Develop and continually evaluate preservation policies and procedures for the Library.
* Direct efforts throughout the Library to preserve library collections through preventive measures and the treatment of individual pieces; actively promote a distributed approach to preservation program implementation.
* Act as the Library's resource person and clearinghouse on all matters relating to preservation of the collection.
* Communicate actively and consistently with faculty, students, and library colleagues at all levels concerning the need for preservation and their role in its implementation. Publicize specific programs.
* Develop and implement a continuing program of information and training for library staff and users with the assistance of Library Personnel and Library departments.
* Evaluate and contract with suppliers of preservation services, both commercial and cooperative.
* Keep abreast of technological and managerial developments in preservation, and represent the library in regional and national preservation activities.
* Formulate preservation budget. Work with library departments to determine costs and manage budgets for staff, equipment, supplies, and contracted services on a distributed basis.
* Devise funding initiatives in cooperation with the Special Projects Librarian and Director, Library Development, to seek funds for preservation programs from organizations, foundations, and individuals.

Train, monitor and evaluate (40%):

* Supervise the Conservation Technician, who is responsible for the day-to-day operation of the library's conservation efforts and for executing a wide range of conservation treatment procedures.

* Design programs to preserve library materials through improved environment and handling, and to treat selected materials which are now damaged, deteriorating, or judged to warrant special preventive care.

* Analyze condition of and options for housing of all collections, particularly maps, scores, manuscripts, rare books, newspapers, pamphlets, media, and machine readable data files; work with library management to enhance housing as needed.

* Establish and monitor standards and specifications for vended services that affect the preservation of the library collections.

* Monitor, report on, and lead efforts to enhance such aspects of the library's preservation program as building design and environmental control, storage facilities, book handling equipment, housekeeping, and security.

* Revise and further develop draft disaster plan.

QUALIFICATIONS:

Required: Knowledge of preservation issues and concerns, technological and managerial solutions to preservation and conservation problems, and current directions in the field. Ability to evaluate preservation and conservation procedures for effectiveness. Excellent oral and written communication skills. Ability to work well independently in structuring and directing a wide-scale program or project, in addition to soliciting ideas from and working cooperatively with a wide variety of staff. Demonstrated leadership ability. Demonstrated initiative and creativity. Willingness to participate in training opportunities. Understanding of current research library issues and perspective.

Desired: ALA accredited MLS. Training or additional degree specializing in preservation of library materials. Field experience in library preservation and conservation. Experience in hands-on conservation techniques. Experience with contract management.

A PRESERVATION PROGRAM

FOR THE

OKLAHOMA STATE UNIVERSITY LIBRARY

Final Report of the

Preservation Program Planning Study

Conducted with assistance from a grant

from the Association of Research Libraries

and the National Endowment for the Humanities

February 1990

SECTION III

A PRESERVATION PROGRAM FOR THE OKLAHOMA STATE UNIVERSITY LIBRARY

Goal and Recommended Staff

The Preservation Program for the OSU Library should be an inherent part of the organizational structure, with components integrated into each function and position where decisions and activities related to preservation take place, as well as into cooperative endeavors. Many benefits can come from developing written documentation, such as that found in position assignments and descriptions, policy and procedure manuals, and goals and objectives. What is most important, however, is incorporating a sense of responsibility for preserving resources into decision-making processes and into the behavior and philosophies of the Library's faculty and staff, as well as of its users.

To achieve this integrated preservation program, we recommend that a preservation services unit be established to coordinate and carry out preservation functions. The unit should be administered by a faculty member whose primary responsibility and area of specialization is preservation. Among other responsibilities, this person could oversee mending activities throughout the Library, prepare preservation specifications for work to be done by outside contractors, participate in staff training programs, coordinate efforts to monitor and control the environment and the condition of the collections, supervise disaster prevention activity, and spearhead preservation-related networking activity. A more detailed description of responsibilities that might possibly be assigned to the person in such a position is provided in Appendix C on page 42.

To ensure that problems are looked at from a broad perspective and that preservation does not become isolated, we also recommend the appointment of a Preservation Committee, one which has rotating membership from among the Library's faculty and staff who have competence in and responsibility for preservation functions. The composition of and charge to such a committee should be based upon the situation at the time it is formed and might take guidance from the suggestions noted in Appendix B on page 41, which describes a similar committee which we recommend be appointed in 1990.

MOVING TOWARD AN INTEGRATED PRESERVATION PROGRAM

Program Description

The key elements which need to be present in order to move toward an integrated preservation program, even without establishing a separate preservation unit, are: support from the Library's administrators; shared assigned responsibilities, with accompanying authority; staff training; multi-lateral communication; and widespread cooperation.

By working on specific objectives over the next three to five years, the Library should be able to develop several essential components of a preservation program that can be incorporated into the organizational structure and philosophy. With cooperation and planning, we can make progress toward achieving the following, which are characteristics of an integrated preservation program:

A Disaster Management Plan is in place, is reviewed regularly, and is backed up by a knowledgeable Disaster Action Team.

Preservation related matters are included, as appropriate, in policy statements, procedure manuals, and other operating guidelines of the Library.

The Library's decision-making process includes preservation among its concerns through a review of recommended changes in policies and procedures, including those related to automation matters, as well as of building renovations and expansion plans, in an effort to ensure to the best of our ability that the preservation needs are met.

Preservation is a regular component of all aspects of the Library's public relations efforts -- in-house, with the university community, and off campus. In addition, multi-lateral communication channels, both formal and informal, provide faculty, staff, and users with opportunities to share ideas and concerns about the preservation of the Library's information resources.

Preservation concerns are incorporated into user education and staff training programs. Uniform guidelines are followed by faculty and staff who provide instruction to ensure that materials are handled properly and to encourage awareness of what can be done to prolong the life of our resources.

-- Program Description --

Preservation is an integral part of the selection and acquisition processes. Faculty with responsibility for collection development apply selection criteria that include consideration of longevity of the items purchased, with attention to such concerns as paperbound books and items published on acid-free paper. Notes describing preservation treatment and plans are included, as appropriate, on the record for each item. In addition, at the time of receipt, new acquisitions that might need preservation attention are identified and given appropriate treatment before being processed for shelving.

The Library has assessed its collections to determine priorities for preservation by replacement, substitution in a different format, special protection, microfilming or deacidifying, as well as for retrieval in the event of a disaster.

Priorities are established for selectively monitoring the physical condition of the collection on a regular basis, and collection development librarians have in place a program to identify materials that are in the most immediate need of attention, as well as to determine how to take care of them.

The physical environment is monitored regularly, areas needing attention are identified and prioritized, and recommendations are made and acted upon within the limitations of finances and the Physical Plant.

Light, dust, temperature and relative humidity are maintained at acceptable levels; the presence and consumption of food and drink are controlled; and vermin are eliminated upon detection.

Sufficient space is provided for collections so that new acquisitions can be accommodated without extensive shifting of the collections, books do not have to be kept on the uppermost shelves, and the arrangement of stacks and seating complies with safety requirements.

Stacks maintenance personnel monitor the condition of the material on the shelves, keeping books off the uppermost shelves, shelving on the spine rather than the foredge when upright is not possible, straightening leaning volumes, and using bookends designed to hold the volumes they support without damaging them.

- Program Description -

Special Collections are housed with environmental and security measures appropriate for unique, irreplaceable resources.

The selection of supplies and establishment of procedures for processing, mending, repairing, housing and preserving items, is done with preservation concerns in mind.

Requests for bid, such as those required for binding contracts and expensive items like photocopy machines, exhibit cases and shelving units, take into account factors needed to preserve the Library's resources.

The Library is actively involved in networking, is regularly sharing its preservation knowledge and resources, and is participating in a regional program to deacidify volumes at risk and in a national program to microfilm brittle books and to otherwise preserve information contained in deteriorating material.

Special conservation needs of individual items are identified and appropriate action is taken to restore them in-house or with outside contractors.

SECTION IV

RECOMMENDATIONS, WITH TIMEFRAMES, OBJECTIVES, AND RATIONALE

ENABLING ACTION

EARLY 1990

Responsibility and Authority

Given the Library's present resources and operational philosophy, as well as the ambiguities that lie ahead during the implementation of the automated system, abatement of asbestos, and possible deliberations and negotiations directed toward establishing networks to preserve materials, the OSU Library will need to coordinate the Preservation Program through the use of existing faculty and staff from throughout the organization until a preservation unit can be established.

We believe that a Preservation Program should be started as soon as possible, even though the Library may not have the resources to employ a Preservation Librarian at this time. Several staff, however, working on a part-time basis could make a difference and enable the OSU Library to begin development of a framework for an integrated preservation program. Consequently, we recommend that the following actions be taken now, making part-time primary assignments to preservation an aspect of the Library's operating premises until adequate funds become available for a Preservation Librarian.

1. **Preservation Coordinator.** Designate a current member of the faculty to serve part-time as Preservation Coordinator, with authority to facilitate the establishment of a preservation program. This person, who should report directly to the Dean of Libraries on preservation concerns, should have preservation activity as at least 20% of his or her primary assignment in 1990.

   The Coordinator should oversee the activity of the Disaster Prevention Team and serve as Chair of the Preservation Program Committee. Working with the latter, he or she should develop recommendations for documentation which includes, but is not limited to, the establishment and implementation of policies, the

application of standards, and the creation of written procedures, specifications, and preservation criteria, as well as of communication links. In addition, the Coordinator should advise department and division heads on preservation concerns that might be incorporated into the goals and objectives for their units, as well as into staff training, and should advise the Collection Development Committee on preservation factors that should be considered in the process of managing the collections.

To provide the initial impetus needed by any change of this magnitude, we recommend that the Head of Special Collections and University Archives be given this assignment for the first two years, 1990 and 1991. The assignment as Coordinator should include authority, as well as responsibility, to work with faculty and staff throughout the Library to develop and coordinate the Preservation Program and to provide input as appropriate during faculty and staff evaluation processes.

2. **Disaster Prevention Team.** Appoint a Disaster Prevention Team, reporting to the Preservation Coordinator, to develop a working Disaster Management Plan. The team should have five or six members selected from among interested librarians and support staff who work in different departments. During the development and implementation process, team members should have this responsibility as a portion of their primary assignment -- in 1990, about 10% for the Chair and 5% for other members. A recommended charge to this Team and one to the Disaster Action Team, which has been recommended by the Task Force on Disaster Management, are attached to this report as Appendix A, on page 38.

3. **Preservation Program Committee.** Appoint a Preservation Program Committee to work with the Preservation Coordinator and help carry out the recommendations contained in this Preservation Planning Study, as well as other preservation projects that may develop. This committee should have five or six members selected from among interested librarians and support staff who work in different departments. Each of these individuals should have this preservation responsibility as a portion of his or her primary assignment -- in 1990, about 10% for each Committee member. The recommended charge to this Committee is described on page 41, in Appendix B.

-- Enabling Action, Early 1990 --
Responsibility and Authority

Implementation of the above three recommendations is essential if the OSU Library is to progress toward protecting the intellectual content of the resources it houses as well as the ongoing investment that has already been made in the collections. The designation of a faculty member to spend some of his or her time coordinating preservation and the appointment of a committee to assist in this effort should enable the Library to respond to many of the suggestions identified by this Study Team in at least a minimal fashion. Changes will take place as the automated system is implemented, as new technological developments are applied throughout the Library, and as concurrent networking agreements are formalized. While it is difficult to predict just what the changes might be, we realize that the opportunity might arise to establish an even better environment for coordination of preservation functions by centralizing several of the activities into one unit.

We recommend that different people be appointed to the Disaster Prevention Team and the Preservation Program Committee, with the chair of the former working closely with the latter to ensure communication. While the need to develop plans for handling a disaster is urgent, so is that to establish a preservation program and preserve the Library's resources. No one group of people working on a part-time basis, however, can give high priority to taking effective action in both directions.

-- Enabling Action, Early 1990 --

Priorities

These two groups of faculty and staff could then immediately begin working on:

1. **A Disaster Management Plan.**

   The highest priority goal is to have in place a Disaster Management Plan, one which establishes preventive measures as well as steps for responding to a disaster. Recommended practice is for a Disaster Prevention Team to be charged with preventing disasters, and a Disaster Action Team with responding to them. The Disaster Action Team should be composed of faculty and staff who know what needs to be done when the Library is struck by unexpected calamities, such as those associated with asbestos removal and building renovation. If the Disaster Prevention Team can be appointed early in 1990, major progress toward developing and applying a Disaster Management Plan should be evident before the end of June 1991.

   Following implementation of the Disaster Management Plan, the Team can focus its attention on carrying out the responsibilities outlined in the plan, evaluating its effectiveness, and assessing the collection to assign disaster recovery priorities.

2. **A Foundation for a Preservation Program.**

   The second goal is to set in place policies and practices that contribute to the preservation of the Library's collections. Toward this end, the Preservation Program Committee, chaired by the Preservation Coordinator, should study policies and procedures overall, recommend changes, and work with appropriate faculty and staff to incorporate adjustments that will help ensure the preservation of the Library's resources. By starting early in 1990 the Committee should be able to make major improvements by the end of the year in several targeted activities, such as mending damaged material and training shelvers.

-- Enabling Action, Early 1990 --
Priorities

As time progresses, attention can be given to other concerns which the task forces have identified as needing attention, including:

> Development of training modules for staff that can be included as part of an overall training program;
>
> Establishment of lines of responsibility and authority, as well as of formal and informal communication; and
>
> Identification of material that is at risk and determination of how the problems posed by these damaged items might best be handled.

Following the enabling action, the Team, Coordinator, and Committee can proceed to work on objectives concommitant with the Library's planning period--a fiscal year of July through June. For this report we have included Disaster Prevention objectives for January 1990 through June 1991, and Preservation Program objectives for January 1990 through June 1992.

The Preservation Program Planning Study Team's recommendations for the Disaster Management Team focus on starting with an overall plan, and modifying its details later, since we may be faced with a calamity at any time. The recommendations for the Preservation Program Committee's activities, on the other hand, are based on the premise of starting small, with pilot projects so to speak, especially when focusing on staff training and behavior modification.

These recommendations should serve as a guide, subject to adjustment to meet the everchanging conditions in which the Library operates. The Team used the task force reports and recommendations as a basis upon which to develop these goals, objectives, and recommended activities, knowing that those reports are based on a sampling of the Library's situation. Consequently, the suggestions may need to be expanded to include other areas that were not part of the sampling. In addition, since the task force reports contain some rather specific recommendations that are generalized in the following pages, those reports should be consulted for additional details and documentation.

SELECTED READINGS

Selected Readings

Excellence, Creativity, and Change

Curson, Susan C. *Managing Change: A How-to-do-it Manual for Planning, Implementing, and Evaluating Change in Libraries.* New York, NY: Neal-Schuman, 1989.

Please refer to the chapters entitled "Managing the Individual," and "Controlling Resistance," which are useful for administrators who are implementing preservation programs.

Martell, Charles. "Creative Behavior in Libraries." (Editorial) *College and Research Libraries* 46 no. 4 (July 1985): 293-294.

This article is a pithy piece on creativity and management.

Naisbitt, John. *Megatrends: Ten New Directions Transforming Our Lives.* New York, NY: Warner Books, 1982.

Though written a decade ago, this book is worth a second reading. Many of Naisbitt's forecasts have come to pass and preservation administrators may find it useful to place preservation issues in the context of societal shifts.

Naisbitt, John, and Patricia Aburdene. *Megatrends 2000: Ten New Directions for the 1990's.* New York, NY: William Morrow, 1990.

Chapters 1 and 2 are most relevant for preservationists. Chapter 2, "Renaissance in the Arts," if accurate, could indicate a trickle-down effect for preservation funding. The sections on philanthropy and business opportunities in the arts suggest new ways to approach fundraising in the non-profit sector.

Nitecki, Joseph Z. "Creative management in Austerity." In *Austerity Management in Academic Libraries.* John F. Harvey and Peter Spyers-Duran, eds. Metuchen, NJ: Scarecrow Press, 1984. 43-61.

Written during the lean period of the early 1980s, this article is appropriate for the 1990s. The only section that seems dated is the short one on zero-based budgeting.

Peters, Thomas J. and Robert H. Waterman, Jr. *In Search of Excellence.* New York, NY: Harper & Row, 1982.

This book is as appropriate for implementing preservation programs as it is for running corporations. Refer especially to chapter 1.

Recent Works on Preservation Management

Harris, Carolyn, Carol Mandel and Robert Wolven. "A Cost Model for Preservation: The Columbia University Libraries' Approach." *Library Resources and Technical Services* 35 no. 1 (January 1991): 33-54.

Merrill-Oldham, Jan, et al. *Preservation Program Models: A Study Project and Report.* Washington, DC: Association of Research Libraries, 1991.

Reed-Scott, Jutta. "Preservation Organization and Staffing." *SPEC Kit* 160. Washington, DC: Association of Research Libraries Office of Management Services, January, 1990.

Report on the Preservation Planning Project, University of Pennsylvania Libraries. Washington, DC: The Commission on Preservation and Access, September, 1991.

Schmude, Karl G. "The Politics and Management of Preservation Planning." *IFLA Journal* 16 no. 3 (1990): 332-335.